DOCUMENT RESUME

ED 248 897 IR 050 846

AUTHOR Dorr, Ralze W.
TITLE The Division of Technical Services. A Study of Its Present Organization and a Proposal for Change [and] Appendices.
INSTITUTION Louisville Univ., Ky. Univ. Libraries.
PUB DATE 31 Aug 83
NOTE 241p.; For a follow-up report, see IR 050 847.
PUB TYPE Reports - Evaluative/Feasibility (142)

EDRS PRICE MF01/PC10 Plus Postage.
DESCRIPTORS *Cataloging; *Change Strategies; College Libraries; Higher Education; Library Materials; Library Personnel; *Library Planning; *Library Technical Processes; Operations Research; Organizational Development; *Productivity; Serials; *Staff Utilization
IDENTIFIERS *University of Louisville KY

ABSTRACT

This study was initiated by the Acting Director of the Division of Technical Services at University of Louisville to examine and analyze the structure of the division and its workflow, use of personnel, and level of productivity. Information on the workflow and structure was obtained from department head workflow charts, statistics indicating the level of departmental productivity, discussions with department heads, and site visits. This information was analyzed to determine the suitability of the levels of staff performing the various processes. Because of the extent and nature of the weaknesses found in existing operations, it was concluded that changes would be required immediately to achieve the level of operations that would adequately meet the needs of the system. This report provides an overview of the study, including its purpose, the methodology used, and the preparation of a new plan of organization; a brief account of the development of the Technical Services Organization from 1947 to 1983; a report on the current organization of the division; and a proposal for its reorganization. The appendices include the memo that initiated the investigation; a statistical report on workflow in the cataloging department together with a memo from the chairman of the workflow committee; annual reports of the cataloging department for 1979-1980, 1980-1981, and 1981-1982; and a chart showing projections of new monies to be allocated to the university libraries from 1983-1984 through 1992-1993. (THC)

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THE DIVISION OF TECHNICAL SERVICES
A STUDY OF ITS PRESENT ORGANIZATION
AND
A PROPOSAL FOR CHANGE

By

Ralze W. Dorr
Acting Director,
Division of Technical Services

A Report Submitted to the University Librarian
University of Louisville Libraries
Louisville, Kentucky
August 31, 1983

IR050845

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ACKNOWLEDGMENTS

The author is especially grateful to Scott Bullard (Head, Acquisitions Department), Dayle Manges (Head, Serials Department), and Gopala Myneni (Acting Head, Cataloging Department) without whose help and support this Report could not have been written. He also wishes to thank Ruth Field, Brenda Frank, Ruth Holman, Carol Honaker, Ben King, Tyler Miller and Joyce McDonough for preparing the flowchart for the Cataloging Department and Emylene Paguio Rodenas for preparing the flowchart for the Acquisitions Department. An enduring debt of gratitude is due Ann Prentice for her highly capable editing and typing of the final manuscript.

INTRODUCTION

Shortly after Martha Alexander Bowman had been officially named University Librarian-designee, she visited the campus to discuss with then-Acting University Librarian, Ralze Dorr, the major issues affecting the internal operations of the Library system. At that time, Ms. Bowman and Mr. Dorr agreed that one of the foremost issues that needed addressing was the operation of the Division of Technical Services. That conclusion was based on the fact that there had never been a Director for the Division of Technical Services (although the position had been on the Library's organization chart since 1981); thus, there was not adequate provision for coordinating the work of the three departments comprising the Division, nor for studying their internal workings and determining measures that could bring about any needed improvements. In this regard, both Ms. Bowman and Mr. Dorr recognized the excellent efforts of the Department Heads of Acquisitions, Cataloging and Serials, acting in concert, responding to issues, as they arose, that affected the Division. While their efforts were effective in reacting to problems on an ad hoc basis, the lack of central authority prevented the systematic study and planning that would be necessary for the Division to anticipate future demands and take suitable and deliberate action to meet them.

Purpose of the Report

Once Ms. Bowman took office as University Librarian, one of her first official actions was to appoint Mr. Dorr as Acting Director of the Division of Technical Services with the charge that he take immediate steps in regard to: (1) increasing the rapidity with which materials are processed; (2) assessing the personnel needs of the Division, particularly in regard to original

cataloging, collection development and the office of Director; (3) examining the organization of the Division and recommending needed changes, particularly in regard to processing of materials, maintenance of bibliographic records and of serials check-in and control records; (4) assisting with long-range planning of the Division and relating it to institutional planning for the Libraries and the University. The text of Ms. Bowman's memo of appointment to the Acting Director, Division of Technical Services and the accompanying charge constitute Appendix I of this Report.

Shortly after Mr. Dorr's appointment as Acting Director, he concluded that to fully carry out the University Librarian's directive it would be necessary for him to initiate a major study of each department in the Division of Technical Services to include a detailed examination and analysis of structure, workflow, use of personnel, and level of productivity. Once this examination and analysis had been completed, it would be possible to determine the extent of change that would be needed and whether that change could be delayed until a permanent Director of Technical Services was in place or whether it would need to be initiated immediately. Having made that judgment, the Acting Director established a methodology for conducting the study.

Methodology for Conducting the Study

As a first step in conducting the study of the Division of Technical Services, each Department Head was directed to prepare a workflow chart showing in detail the manner in which each process was carried out. The workflow charts were to be supplemented by lists that indicated the level of the staff member performing given functions in the workflow. In addition, statistics were to be compiled that indicated the level of productivity for each department and unit within a department, as appropriate.

Once workflow charts were prepared, the Acting Director held preliminary discussions with each Department Head during which the Department Head surveyed his respective workflow chart and answered questions from the Acting Director that would assist him in clearly understanding the chart. Subsequently, the Acting Director studied each of the charts and composed a list of questions having to do with the charts which he posed to the Department Heads during successive meetings. Site visits were made to each department where the respective Department Head related flowcharts to persons, materials, files, equipment and work stations. Next, the Acting Director and each Department Head listed tentative conclusions they had drawn from the analysis of workflow. Finally, firm conclusions were drawn in regard to weaknesses that were observed in the workflow of each department and in processes that extended from one department to another.

Having completed the study of the flow of work, the Acting Director and each Department Head examined the internal structure for the given department (i.e., the manner in which processes were grouped). That structure was then related to the workflow chart for that department to determine the extent to which the structure appeared to facilitate workflow or to impede it. For processes such as serials, which extended throughout several departments, a comprehensive flowchart was constructed to show the total process as if it were continuous and uninterrupted; this was then applied to the administrative structure in which those processes were carried out to determine the extent to which the structure contributed to or detracted from the flow of work. Once conclusions were drawn from this exercise, each process was examined in terms of the level of staff performing it.

During the study of workflow and structure, major questions had arisen concerning the level of staff assigned to given processes. Those questions were

used as a basis for the analysis of the level of staff assignments. In each instance a given process, concerning which a question had arisen, was examined to determine the level of complexity it entailed, the extent to which it required establishing bibliographic authority, verification, and uniformity, and the manner in which such authority, verification and uniformity must be established. These factors were then used as a basis for determining whether and to what extent a given process could be carried out on one of the following levels: professional, "higher-level" support staff, support staff. In those instances where a major process appeared to require varying levels of staff expertise as it progressed through the workflow chain, the process was diagrammed to determine whether it was reasonably susceptible to dividing responsibility between the various levels of staffing. Such an analysis of the processes in question, therefore, led to conclusions as to the suitability of the level of staff performing them in the existing organization. How productivity might be affected by the present organization, workflow and use of staff was examined next.

It was determined by the Department Heads and the Acting Director that the study of productivity would have to be limited only to the manner in which it was affected by existing structures, workflow and utilization of personnel because further analysis would be beyond the reasonable scope of the study in progress. Thus, productivity was examined by relating numbers of items processed to the number and level of staff performing the work and to the structure and workflow being followed. In that context, the manner in which staff interacted with automated systems in achieving various levels of productivity became, in some instances, an unavoidable issue; thus, it was decided to include allusions to automated systems and their potential benefits but not to attempt a full quantitative analysis of what they might be expected to achieve

in terms of production, that issue also being beyond the scope of the study. The examination of levels of productivity completed the three steps originally established for the study of the Division of Technical Services. It was then necessary to conclude from the findings of the study whether continuing the existing organization of technical services operations was plausible or whether significant reorganization would be required.

Conferences were held with the Heads of the Technical Services Departments to make an assessment of the effect of continuing the existing organization; in that regard, three questions were posed: (1) Is it feasible to continue operations just as they are? (2) Is it feasible to make minor modifications to existing operations and delay major changes until a permanent Director of Technical Services is in place? (3) Is it necessary that major changes in operations be implemented at this time? It was concluded, based on the extent and nature of the weaknesses found in existing operations, that those operations could not continue, even for the short term, without continuing detriment to the library system; moreover, it was determined that many of the problems with existing operations were of such major significance that only minor modifications could not bring about adequate remedies. It was concluded that major changes would be required in the immediate future to achieve the level of operations that would adequately meet the needs of the system. It would then be necessary to draw up a plan for a new organization.

Preparation of a New Plan of Organization

Prior to beginning actual preparations of model plans for reorganization, several steps were taken, as follows, to obtain additional information that would be needed: (1) the Acting Director in conjunction with the University Librarian prepared a list of "Assumptions for the Future"; those assumptions

addressed such factors as the volume of materials that could be expected over the next ten years, the expected timeframe for implementing an on-line catalog and sub-systems, the timeframe for implementing the Collection Development Policy, etc.; (2) the Acting Director met with professionals and support staff in each unit of the Division to discuss with them any problems they perceived with the existing operations and to solicit from them their ideas on how work-flow, structure and use of personnel could be improved; (3) the Acting Director met with the Public Services Cabinet and the Director, Division of Central Libraries, to learn of their experiences with services performed by the Technical Services Departments and their perceptions of what improvements might be needed. In addition, the Technical Services Department Heads were requested to perform limited investigations of any recent reorganizations of their counterpart departments in other libraries and to survey the literature on organization for the past year for any relevant information that might be of assistance in formulating model plans.

As a final step before beginning the process of preparing model plans, the Acting Director prepared a list of objectives for each department that would have to be met by any model plan of organization. Those objectives were derived from conclusions drawn in the study of the existing organization. Any new organization would have to meet those objectives and provide appropriately for those factors contained in "Assumptions for the Future."

The first step in preparation of model plans was a series of general discussions, including the Heads of Acquisitions, Cataloging and Serials Departments and the Acting Director of Technical Services, in which various concepts for reorganization were considered. Among those concepts was one that would decentralize serials processes, thus absorbing them into the Acquisitions Department and Cataloging Department and eliminating the Serials Department

altogether; another would centralize all serials processes into an expanded Serials Department to include serials cataloging and the Current Periodicals unit in addition to those activities currently in the Serials Department. Another concept would, to some extent, decentralize the Cataloging Department, dividing it into "automated cataloging" and "original cataloging" with the head of each of those units reporting to the Director, Division of Technical Services. A subsequent concept would place pre-cataloging in the Acquisitions Department and divide the Cataloging Department into two units, monographic cataloging and database maintenance. Additional concepts, involving differing configurations for the various processes were also discussed. For the concluding discussion, Department Heads were requested to prepare broad organization charts for the three concepts that had been selected as being worthy of further consideration.

Each model organization chart was reviewed and analyzed in terms of its relative merits and demerits both in terms of theory and actual application to the present and future conditions as perceived for the Division. After several weeks of revision and analysis of the various plans, one emerged as being superior to the others in the manner in which it was perceived to meet the immediate needs of the library system, while providing the flexibility needed for the future; a secondary consideration that added support to this plan was the perception that it had the potential to begin correcting most major weaknesses of the existing organization very shortly after its implementation. The agreed-upon plan was then developed into a detailed organization chart with listings of principal tasks for each unit and sub-unit. Refinements were then carried out to descriptions of the various positions in each unit and the level of staff performing each activity was identified. Finally, projections were prepared to show the numbers of positions that would be needed for the new organization along with estimates of productivity that could be achieved in

various timeframes. The concluding step to the study would then be the drafting of the final report to the University Librarian.

Drafting the Report

As a first step in drafting the report, the Acting Director prepared a preliminary outline showing the organization of the report; this was revised at intervals after he began writing the report. As each part of the report was written, drafts were distributed to each of the three Department Heads; discussions were held with them and agreed-upon changes were made to the preliminary drafts to bring them into accordance with the joint viewpoints of the Department Heads and the Acting Director. Once a completed draft had been produced, Department Heads were given a final opportunity to make improvements to wording, etc., before finished copy was typed.

General Remarks

This Report may constitute the first effort of such magnitude in the history of the University of Louisville Libraries to conduct a detailed study and analysis of an entire Division within the system and upon that basis to predicate a plan of reorganization. For this reason, it appears desirable to make some general remarks that will help to explain the nature of the Report and its relative strengths and limitations.

The nature of this Report results directly from its purpose. Because the Report is intended to identify any weaknesses in structure, workflow, use of personnel and resulting productivity in the Division of Technical Services, it must be critical in nature; thus, it becomes necessary to subject the various processes and the manner in which they are carried out to a dispassionate kind of microscopic examination. It is hoped that this Report has been reasonably successful in that regard. The critical nature of the Report, however, does not

allow for much attention in the text to the strengths that may be inherent in the present operation. This does not mean that the author who conducted the study was unaware of such strengths nor that he disregarded them when devising a new plan of organization. Indeed, one of the greatest strengths noted by the author was the quality of professional and support staff, as demonstrated by the meticulous care and attention they had given to the processes for which they were responsible and by their knowledge and skill in discussing those processes. Recognition of that fact made the author confident that he could devise a challenging new plan of organization with the certainty that the staff had the ability, determination and resourcefulness to help make it succeed.

Another major strength noted by the author was the initiative exercised by the Department Heads and their respective staffs to make needed changes and improvements in response to changing conditions and in response to their own judgment that if a process could be improved, it should be improved. Thus, the weaknesses found in the existing operations of the Division do not reflect upon incumbent Department Heads or their staff; those weaknesses had evolved over the past several years, a time when technological change occurred so rapidly that any information agency would have been hard-pressed to respond in a timely manner. Moreover, most of the weaknesses cited in this Report are not limited to a single department but extend, in varying degrees, throughout the Division; they could not, therefore, be easily addressed except through an administrator with responsibility for the entire Division--a position that has been lacking until recently.

The new plan of organization for the Division of Technical Services appears to its author to have clear potential to correct the weaknesses of the existing structure and to meet future demands for some time to come; it is intended that the plan will meet that objective while simultaneously achieving reasonable

economy of operation. The plan, as described in this Report, however, constitutes only a basic outline of how processes will be grouped and how they will be administered.

In this, as in any plan, there is an element of the unknown that can be tested only by putting it into practice and pursuing an honest effort to make it work. Often that "honest effort" may be the difference between its failure and its success. The staff in the Division of Technical Services, over many years, has gained an outstanding reputation for its "honest effort to make it work." It is with that reassurance that the author presents this Report.

PART I

A BRIEF ACCOUNT OF THE HISTORICAL DEVELOPMENT OF TECHNICAL SERVICES ORGANIZATION, 1947-1983

The organization of functions presently found in the Division of Technical Services, University of Louisville Libraries, into Acquisitions, Cataloging and Serials Departments, has not changed substantially for the past thirty-six years. In 1947, those functions included three departments: Acquisitions, Cataloging, and Periodicals. Under the 1947 organization, serials other than periodicals were processed in the Acquisitions Department and Cataloging Department; the heads of Acquisitions, Cataloging and Periodicals departments reported directly to the University Librarian; the Periodicals Department, under the 1947 arrangement, included both public and technical services aspects of periodicals along with preparation for bindery activities that brought together all formats, including periodicals, other serials and monographs.

In the mid-fifties, in preparation for the move to a new open stacks library building, the Periodicals Department was abolished, with current periodicals and bindery preparation becoming an activity of the Reference Department. Bound periodicals were placed on the open access shelves adjacent to the books and responsibility for their public use placed in the Circulation Department. This arrangement continued until 1966 when a Serials Department was established with the head of that unit reporting to the then-Director of University Libraries. Under the 1966 organization, the Serials Department was responsible for the ordering, checking-in and claiming activities for all periodicals titles held by the Central Library and for preparation for bindery activities. Responsibility for non-periodical serials continued, under the 1966 organization, to be shared by the Acquisitions and Cataloging Departments.

Current periodicals continued to be located in the Reference Department; bound periodicals continued to be in the general public-access stacks under the administration of the Circulation Department.

During the period 1962-1965, the Cataloging Department made impressive strides in speeding-up the flow of cards to the catalog and in achieving economy of operation by subscribing to L.C. proofslips and producing cards in-house, first by a Multilith printer and subsequently by a Xerox photo-copy machine. Soon thereafter, the position of "Proofslip Cataloger" was established and filled with a higher-level support staff member; that position was the predecessor to what is now the L.C. Cataloging section in the Cataloging Department. It was also around this time (1965) that the University of Louisville Libraries abandoned the venerable Dewey Decimal Classification System for the Library of Congress classification scheme and made the transition from a dictionary catalog to one divided according to author-title and subject.

By 1968, the availability of a new computer for the University made possible the checking-in of serials on a computer-based system. Subsequently, efforts were made to include in a serials masterfile both periodical titles and serials titles other than periodicals, although responsibility for ordering and processing of non-periodicals serials continued to be shared by the Acquisitions and Cataloging Departments and, to a limited degree, with the Circulation and Reference Departments. The then-Information Referral Center (now the Office of Systems, Research & Development) served, under the 1968 organization, as the administrative unit responsible for setting-up and governing the computer-generated records for serials and for the computer-generated accounting records.

Somewhat later, in 1969, the Acquisitions Department implemented the BATAB computer program for the ordering, posting and claiming of monographs and standing orders for non-periodical serials; the BATAB system also included an accounting sub-system and generated current-order files and order-status reports

to initiators of orders. BATAB tapes were received from the vendor and run on the University computer. By 1975, the Cataloging Department had subscribed to SOLINET and, as a part of the internal reorganization of that department to meet the requirements of the new network cataloging, a Pre-Cataloging unit was later established, in 1978, to conduct preliminary searching, establish correct main entries and to designate various types of materials to be routed to the appropriate section in the Cataloging Department. Also by the late 1960's, the Acquisitions Department was divided into an order unit, gift unit, and accounting unit with selection and searching activities being carried out by professional librarians in the department. By 1970, the Serials Department was composed of only the Department Head and one staff assistant, supplemented by student help, with assistance in computer-generated records from the Information Referral Center. All major activities in the Serials Department were carried out mainly by the Department Head herself.

By 1978, the Cataloging Department was divided into four sections: Monographic Cataloging (including Library of Congress cataloging), Serials Cataloging, Bibliographic Records and Shelf Preparation. Except for Shelf Preparation, each of those sections was headed by a professional cataloger. In 1981, an L.C. Cataloging section was established, separate from Monographic Cataloging, with each original cataloger reporting directly to the Head of the Cataloging Department. In 1981, the check-in, claiming and accounting activities of the Serials Department were placed under the responsibility of support staff, subject to supervision by the Department Head. The Bindery Preparation unit in the Serials Department had been under the direct management of a support staff member for some years. More recently, beginning in 1981, efforts were begun to transfer all responsibility for remaining serials publications from the Acquisitions Department to the Serials Department. That effort is now nearing completion.

With the move to the new William F. Ekstrom Library, in 1981, Current Periodicals became a separate unit from the Reference Department, reporting to the Director, Division of Central Libraries. That unit continued, as before, to have responsibility primarily for the public service aspects of current periodicals, with most technical aspects retained in the Serials Department. Recently the Current Periodicals unit was reunited with the Reference Department and the head of that unit began reporting to the Head of the Reference Department.

Although the basic concept for organization of technical services functions into Acquisitions, Cataloging and Serials had remained relatively unchanged for over thirty years, it was only in 1981 that a recommendation was made, in a report authorized by the Executive Vice-President of the University, that a Technical Services Division be established with a director to which each of the three department heads would report. Although the position of Director, Division of Technical Services has been a part of the official organization chart for the library since 1981, it was only in February, 1983, with the appointment of a new University Librarian, that the position was filled with an Acting Director. It is intended that a permanent Director will be appointed soon.

The detailed organization of the Division of Technical Services, as it currently exists, will be addressed in Part II of this Report, along with an analysis of workflow, use of personnel and level of productivity under the current organization.

PART II

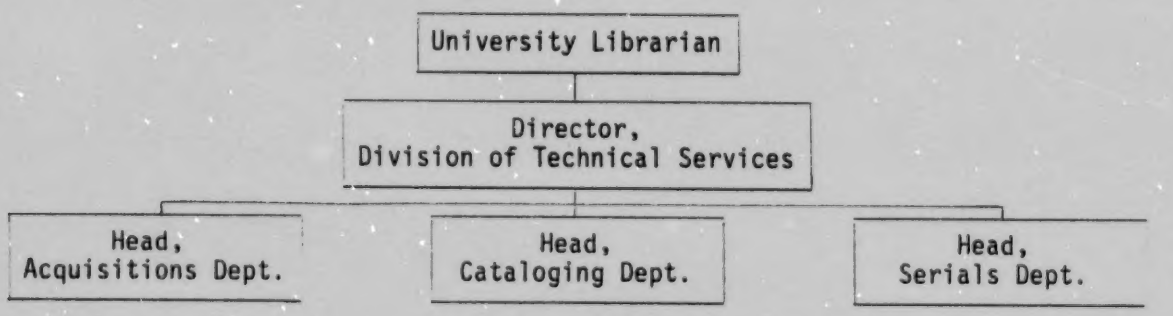
THE CURRENT ORGANIZATION OF THE DIVISION OF TECHNICAL SERVICES

A detailed understanding of the current organization of the Division of Technical Services, including the internal structuring of each department, the workflow, the utilization of personnel and the resulting level of productivity are necessary to determine the relative effectiveness of the current organization to meet present and future needs of the library system. This part of the Report will consider each of those factors.

Organization of the Division

The Division of Technical Services, as shown in Figure I, is presently organized into three departments: the Acquisitions Department, the Cataloging Department, the Serials Department. The Head of each of those departments reports directly to the Director, Division of Technical Services, who, in turn, reports directly to the University Librarian. As shown in Figure II, the library units served by these departments, in various ways, include all of the

FIGURE I: CURRENT ORGANIZATION OF THE DIVISION OF TECHNICAL SERVICES



Division of Central Libraries and all Professional School Libraries except for Health Sciences. A number of the libraries, however, carry out technical service functions for their specialized collections such as music scores, still photographs and government publications; for example, while the book and periodical collections in Photographic Archives are supported by the Division of Technical Services, the large collection of photographs is cataloged by Photographic Archives personnel. The Government Publications Department also maintains its own catalog, although some monographs and serials are ordered, cataloged and processed by the Acquisitions and Serials Departments of the Division of Technical Services.* In addition, the Department of Rare Books and Special Collections maintains a special catalog with listings according to the special collections themselves. All monographs and serials, however, receive standard cataloging by the Cataloging Department of the Division of Technical Services. All cataloging processes are carried out by the Division of Technical Services for the Art and Natural Sciences Libraries except maintenance of their respective catalogs--an activity that is performed by personnel in those libraries.

In regard to the Professional School Libraries, Figure III indicates that the Division of Technical Services performs cataloging for the Engineering Library, for the book and serials collections of the Music Library, and for the general collections of the Law Library. Music Library personnel catalog the large collections of phonograph records, audio-tapes and music score collections maintained by the Music Library. The Law Library carries out an abbreviated form of supplemental cataloging for its extensive collection of services, and continuations of various types. Most ordering, check-in, claiming, etc. is performed by the Engineering, Music and Law Libraries, respectively, although

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*The catalog maintained by the Government Publications Department constitutes a special format created by that department to expedite location of items in the collection.

FIGURE II: TECHNICAL SERVICE ACTIVITIES PERFORMED BY UNITS OF THE DIVISION OF CENTRAL LIBRARIES AND BY THE PROFESSIONAL SCHOOL LIBRARIES

LIBRARY UNIT PERFORMING ACTIVITY	TECHNICAL SERVICE FUNCTION*		
	ACQUISITIONS	CATALOGING	SERIALS**
Art Library	--	Maintenance of local catalog	Limited processes
Engineering Library	Most processes	Maintenance of local catalog	All processes
Government Publications Department	Most processes	All processes except Gov't. Documents Reference Collec.	Most processes
Health Sciences Library	All processes	All processes	All processes
Law Library	Most processes	Maintenance of local catalog	All processes
Media & Microforms Department	--	Maintenance of local catalog	--
Music Library	All processes	Phono records, audio tapes, music scores; maintenance of local catalog	All processes
Natural Sciences Library	--	Maintenance of local catalog	Limited processes
Photographic Archives	Photographs	Still photographs	--
Rare Books & Special Collections	--	Maintenance of local catalog	--
Reference Department	Pamphlets only	Maintenance of local catalog	--

*The variations in the manner in which many units relate to the Division of Technical Services make it difficult to depict those services with precision; this constitutes a close approximation.

**Excludes serials cataloging.

FIGURE III: ACTIVITIES PERFORMED BY THE DIVISION OF TECHNICAL SERVICES FOR UNITS OF THE DIVISION OF CENTRAL LIBRARIES AND FOR THE PROFESSIONAL SCHOOL LIBRARIES

LIBRARY UNIT FOR WHICH ACTIVITY IS PERFORMED	TECHNICAL SERVICE FUNCTION*		
	ACQUISITIONS	CATALOGING	SERIALS**
Art Library	All processes	All processes except maintenance of local catalog	Most processes
Engineering Library	Limited processes	All processes except maintenance of local catalog	--
Government Publications Department	Limited processes	Only Gov't. Docs. reference collection	Limited processes
Health Sciences Library	--	--	--
Law Library	Limited processes	All processes except maintenance of local catalog	--
Media & Microforms Department	All processes	All processes except maintenance of local catalog	All processes
Music Library	--	All processes except phono records, audio tapes, video tapes, music scores & maintenance of local catalogs	--
Natural Sciences Library	All processes	All processes except maintenance of local catalog	All processes
Photographic Archives	All processes except for still photos	All processes except for still photographs & maintenance of local catalogs	All processes
Rare Books & Special Collections	Most processes	All processes except maintenance of local catalogs	All processes
Reference Department	All processes	All processes except maintenance of local catalogs	All processes

*The variations in the manner in which many units relate to the Division of Technical Services make it difficult to depict those services with precision; this constitutes a close approximation.

**Excludes serials cataloging.

limited processes are carried out by Technical Services units. The Health Sciences Library, as shown in Figure II, operates its own Technical Services unit and does not depend upon the Division of Technical Services in any way.

As shown in Figure III, the Division of Technical Services supplies cataloging services, at various levels, for all library units except for the Health Sciences Library; acquisitions services are performed for all units of the Division of Central Libraries, while limited services are performed for the Engineering and Law Libraries; serials services are performed for all units of the Division of Central Libraries. How each department in the Division of Technical Services is structured to perform those services will be described next.

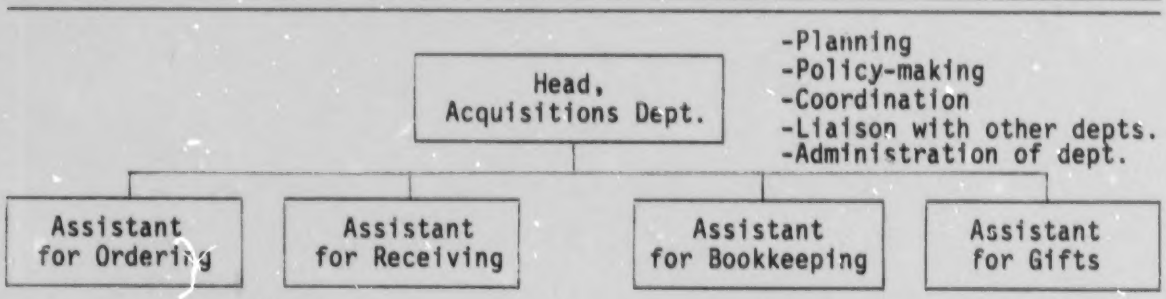
Internal Structure of Departments in the Division of Technical Services

Acquisitions Department. As shown in Figure IV, the Acquisitions Department is divided into four units: ordering, receiving, bookkeeping and gifts. Each unit-head reports to the Head of the Acquisitions Department who is responsible for over-all administration, policy-making, planning and coordination of the various activities as well as for liaison with other departments in the Division of Technical Services. Figure IV also indicates the major tasks that are performed by each unit in the Acquisitions Department.

Clear guidelines are supplied to unit heads in the Acquisitions Department to enable them to carry out day-to-day routines with a minimum of consultation with the Department Head. Consultation is frequently necessary between unit heads and, at times, between them and representatives of other departments and offices.

The structure, the designation of responsibilities, and operating guidelines for the Acquisitions Department appear to be highly effective both for present and future operations.

FIGURE IV: INTERNAL STRUCTURE OF THE ACQUISITIONS DEPARTMENT AND MAJOR TASKS OF EACH STRUCTURAL UNIT



Assistant for Ordering:
-Receive order recommended
-Search
-Check P.C.
-Select vendor
-Generate order
-Receive Approval Plan books and determine titles to retain
-Receive Blanket Order books & determine titles to retain

Assistant for Receiving:
-Receive all incoming books
-Route to appropriate Acquisitions unit
-Check and file invoices
-Process all firm orders, standing orders, continuations, monographic series
-Convey information to Acquisitions bookkeeper to authorize payment
-Route books to Pre-Cataloging, Serials Cataloging or Serials Dept.

Assistant for Bookkeeping:
-Receive all payments & invoices
-Charge to appropriate accounts
-Verify amounts and make adjustments
-Determine cancellations
-Correspond with vendor regarding status and charges
-Generate forms to authorize payment by University Accounting

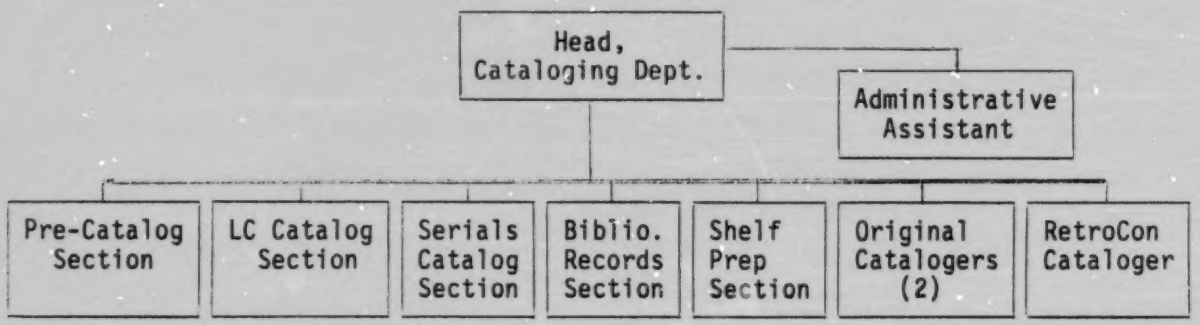
Assistant for Gifts:
-Receive all gift materials
-Record donations by source
-Send letter of acknowledgment
-Search OCLC and P.C.
-Decide to discard or retain
-Notify University Development about gifts received

Cataloging Department. As depicted in Figure V, the Cataloging Department is divided into five "sections": Pre-Cataloging, Library of Congress Cataloging, Serials Cataloging, Bibliographic Records, and Shelf Preparation. Original (monographic) cataloging and retrospective conversion are not defined as sections, thus each cataloger engaged in those activities reports directly to the Head of the Cataloging Department. The Administrative Assistant also reports to the Head of the Cataloging Department. The head, L.C. Cataloging section also bears the title "Coordinator of Automated Cataloging" and, in that capacity, is responsible for liaison with the University Libraries' Office of Systems, Research & Development. All section heads report directly to the Head of the Cataloging Department.

The Head of the Cataloging Department, as shown in Figure V, is responsible for planning, policy-making, coordination and liaison with other departments; the head of each section is responsible for similar activities within his/her section. The Coordinator of Automated Cataloging (also L.C. Cataloging section head) is the official liaison with the Office of Systems, Research & Development in its capacity as manager of the DataPhase system; he has also assisted the Department Head in dealing with SOLINET activities.

As shown in Figure V, the division of tasks based on the existing structure has limited meaning. This is illustrated by the many processes that relate directly to professional cataloging being carried out in four or five different sections and/or groupings of activities. Although those processes are closely associated and inter-related, they are fragmented and segmented because of the present structure of the department. The ineffectiveness of the division of tasks according to the existing sections is also illustrated by the dispersal of bibliographic control activities in three separate sections: L.C. Cataloging, Shelf Preparation, and Bibliographic Records.

FIGURE V: INTERNAL STRUCTURE OF THE CATALOGING DEPARTMENT AND MAJOR TASKS PERFORMED BY EACH UNIT



Head, Cataloging Department	Level
-Planning	P
-Policy-making	P
-Coordination of cataloging functions	P
-Liaison with other departments	P
-Revision of cataloging done by professionals	P
Administrative Assistant	
-Secretarial duties	S
-Payroll	S
-Personnel records	S
-Preliminary processing of added copies	S
-Control of equipment and supplies	S
-Accounting and budgeting for SOLINET and student assistants	S
-Selection and weeding of Bingham and Browsing collections	S
-Filing of cards in Bingham catalog	S
Original Catalogers	
-Original cataloging of monographs	P
-Editing of non-LC copy cataloging	P
-Assigning subject headings to theses	P
-Preparing name authority cards and series authority slips	P
-Inputting original cataloging records into OCLC	P
-Transferring original input records to DataPhase	P
-Making corrections to records input into OCLC and DataPhase when necessary	P

(Continued, p. 13)

Pre-Cataloging Section	Level*
-Liaison with Acquisitions Department	P
-Making bindery decisions	P
-Recording and analyzing statistics	P/S
-Cataloging book continuations (including conversion)	P
-Cataloging monographs	P
-Cataloging serials as time permits	P
-Preparing name authority cards and series authority slips	P
-Inputting records on OCLC	P
-Transferring records to DataPhase	P
-Making corrections to records input or converted on OCLC and in DataPhase if necessary	P
-Using acquisitions system for inputting records, tracking items, etc.	P
-Solving bibliographic problems	P
-Searching for appropriate copy on OCLC database	P/S
-Locating items in-process	P/S
-Sorting materials by categories	S
-Routing to appropriate sections for processing	S
-Preparing books for OCLC search	S
-Maintaining cataloging backlog	S
-Searching NUCs for copy not found on OCLC	S
-Preliminary processing of book continuations	S
LC Cataloging Section	
-Liaison with Systems, Research & Development	P
-Liaison with SOLINET	P
-Coordinating DataPhase activities, including batch error processing	P
-Original cataloging as time permits	P
-Editing non-LC copy cataloging	P
-Editing non-LC copy cataloging on OCLC	S
-LC copy cataloging	S
-Added copy cataloging	S
-Inputting new records, except serials	S
-Correcting machine-readable records	S
-Transferring records to DataPhase	S
-Maintaining OCLC terminal schedules	P
Bibliographic Records Section	
-Resolving name, subject heading and classification problems	P
-Sorting cards	S
-Routing cards, correction slips to branch/professional libraries	S
-Filing cards in public catalogs and various internal files	S
-Revising filing	S
-Making corrections on manual and machine-readable records for any changes made including transfers and withdrawals of monographs (this includes DataPhase, if necessary)	S
-Making authority cards, and cross-reference and guide cards	S
-Recording statistics	S

(Continued, p. 14)

Serials Cataloging Section	Level*
-Revising in serial and series authority files	P
-Original and copy cataloging of serials	P/S
-Cataloging added volumes, including conversion and reclass	P/S
-Searching for matching copy for serials	S
-Inputting original cataloging	S
-Correcting manual and machine-readable records for any changes made including transfers and withdrawals of serials (this includes DataPhase, if necessary)	S
-Creating temporary DataPhase records for "new" serials	S
-Transferring records to DataPhase	S
-Recording serial holdings for Ekstrom, Art, Speed, Natural Sciences, and Music Libraries	S
-Relaying cataloging information to Kentucky Union List of Serials, Systems Research and Development, and Serials Department (among others) as necessary	S
-Preparing name authority cards, series authority slips and references for Serials Record File	S
-Filing in Serials Record File	S
-Recording statistics for added volumes and other sectional activities	S
Shelf Preparation Section	
-Labelling (spine, OCR, cover labels, date dues, gift plates, location, etc.)	S
-Installing security strips	S
-Creating item records on DataPhase	S
-Matching in-process slips with items and cards	S
-Sorting and routing of processed items	S
RetroConversion Project	
-Editing descriptive cataloging adding needed fields and assigning tags as necessary	P
-Doing original input for reclass/conversion items	P
-Solving bibliographic problems	P
-Transferring records to DataPhase	P
-Correcting OCLC and DataPhase records as necessary	P
-Recording statistics for reclass. conversion items	P
-Searching NUCs for appropriate copy	S
-Checking public catalogs	S

*P designates work currently done by professionals.

*S in most cases designates work done by classified staff. In BRS and Shelf Prep, tasks designated S may well be done by students as well as classified staff. In RetroCon, S designates student help only.

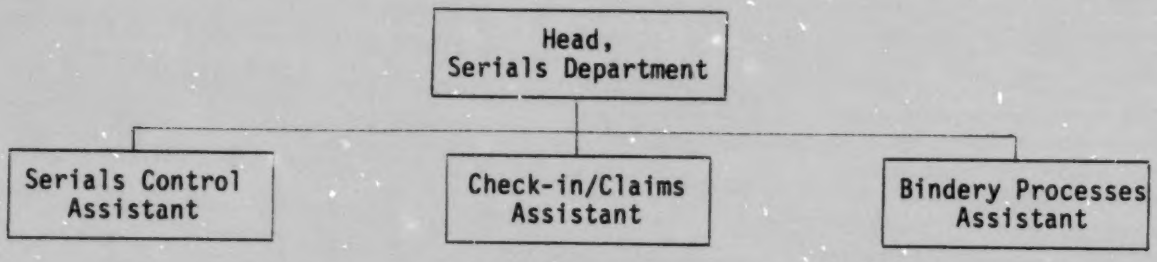
The current structure also contributes to an inefficient division of responsibility between professional and para-professional catalogers. Para-professional catalogers are capable, under an appropriate structure and with proper guidelines and professional consultation, of performing more of the work related to Pre-Cataloging, Copy Cataloging and Bibliographic Control. In addition, some of the 090's work, as well as certain aspects of records conversion now performed by professional catalogers, may be performed by para-professionals. The time spent by professional catalogers administering those sections that have limited relevance also constitutes a weakness of the present structure of the Cataloging Department.

Clearly, the present internal structure of the Cataloging Department is out-moded and ineffective. It inhibits efficiency, limits economy of operation and prevents the flexibility needed to meet future demands. These conclusions will be further reinforced in the analysis of the workflow which follows later in this Report.

Serials Department. Figure VI shows that the Serials Department is divided into three work units: Serials Control, Claims, and Bindery Processes. The staff member responsible for each serials work process reports to the Head of the Serials Department. The Department Head, himself, carries out many line responsibilities in addition to his administrative duties.

Although the division of work in the Serials Department is structured in an effective manner, it cannot compensate for the cumbersome patch-work that constitutes the present serials control system. Moreover, the present definition of the department, itself, is so limited that it cannot hope to achieve the desired level of efficiency even with additional personnel and a much-improved serials control system. It is, therefore, what is not included in the Serials Department that is of greater importance than the internal structuring of the work that is presently performed there.

FIGURE VI: INTERNAL STRUCTURE OF THE SERIALS DEPARTMENT AND MAJOR TASKS OF EACH STRUCTURAL UNIT



Head, Serials Department:
- -Planning
- -Policy-making
- -Coordination and liaison with other departments
- -Pre-order searching
- -Selection of vendors
- -Preparation of serial data sheets for Computer Center
- -Record statistics
- -Meet with sales representatives
- -File cards in serial holdings file
- -Preparation of serial data sheets for Serials Masterfile

Serials Control Assistant:
- -Verify invoices for subscription payments
- -Prepare purchase orders authorizing payments to accounting office
- -Prepare code sheets of subscription payments and send to Computer Center for printing of the cost-record
- -Maintain balance ledgers for serials budget accounts
- -Some monitoring of serial arrivals to identify issues that need to be claimed

Check-in/Claims Assistant:
- -Open and distribute incoming mail
- -Check-in current issues of periodicals and serials
- -Identify issues to be claimed
- -Type claim forms
- -Handle follow-up claims and write miscellaneous correspondence related to claims
- -Record statistics for claims

Bindery Processes Assistant:
- -Prepare shipments of unbound periodicals to be sent to bindery
- -Process incoming return shipments of newly-bound periodicals
- -Supervise mending and post-binding work
- -Supervise Duplicates Exchange work
- -Prepare U of L dissertations to be sent to University Microfilms for filming

For the Serials Department to be truly effective, it would need added to it a collection development component (to function in conjunction with the Collection Development Officer) and a cataloging component (both copy and original). For the best results, even a current periodicals public service component would be desirable.

Under the present structure, there is no provision for carrying out cataloging activities, including the searching of the OCLC database to establish an accurate record to use as a basis for generating critical lists. Nor is there provision for collection development and management activities that are essential to establish guidelines, criteria, and priorities for selection of new titles, budget analysis, binding decisions, and determination of format, such as microform.

Based on the limited role of the Serials Department as it is presently defined, it appears doubtful whether it should continue as a separate department. Logically, it should either be expanded to include those functions that allow for comprehensive and complete processes or be combined with another department that has processes that are closely associated with it.

Workflow of the Division*

An analysis of the workflow of the Division of Technical Services raises many of the same issues as the evaluation of the administrative structure discussed earlier in this Report. Thus, the ineffective internal structure of the Cataloging Department and the limited scope and definition of the Serials Department are factors that are reinforced by an analysis of the workflow of those departments. Similarly, the effective internal structure of the

*Workflow charts, too large for inclusion in this Report, are available for inspection in the respective departments.

Acquisitions Department is further reinforced by a study of the workflow of that department. A workflow analysis of each department will follow.

Acquisitions Department. A study of workflow in the Acquisitions Department reveals a highly compact and unified organization of tasks grouped according to ordering, receiving, gifts and bookkeeping. The sequence of the workflow expedites the prompt and accurate completion of processes and the level of staff appears appropriate to the work being performed. The workflow chart indicates that the processes for which each unit is responsible are completed in the unit itself before being routed to the next position in the chain.

Only two questions arose in the workflow study of Acquisitions: whether the support staff member responsible for the order processes was adequately equipped to make decisions concerning selection and/or rejection of Approval Plan books; whether the notification of order status (to faculty and librarians who placed orders) was made with sufficient frequency and in sufficient detail. In regard to the former question, it was explained that the order staff member was regularly given detailed guidelines to use as a basis for selection decisions; moreover, that staff member, it was explained, had adequate education and training to be effective and reliable in this role. In regard to the latter question, it was explained that the Gaylord system had just been modified to print out order-status information of reasonable size and cost to allow for monthly reports of order status to those initiating order requests.

Cataloging Department. An examination of the workflow in the Cataloging Department indicates: meticulous attention to the details of each process; a highly effective, logical sequence throughout the workflow chain; a built-in structure to ensure quality control at appropriate points; a compact and highly unified organization of tasks in most processes. The weaknesses of the workflow (which reiterate some of what was stated in the evaluation of the internal structure of the department in the previous section of this Report) are, however,

of major significance and relate to: (1) the scattering among various sections of what should be closely associated, inter-related and unified processes; (2) the utilization of professional catalogers to perform tasks that can more appropriately be done by higher-level support staff; (3) insufficient time and lack of adequate control over the performance of all aspects of original cataloging (both monographs and serials) and professional aspects of reclassification and conversion work. Each of those factors will be addressed next.

One group of processes that are by nature closely associated and inter-related, yet are now scattered and divided into separate units, include: original cataloging, retrospective conversion and pre-cataloging. The second group of processes that are now scattered, yet by nature are closely associated and inter-related constitute: bibliographic records, database maintenance (DataPhase) and shelf preparation. The former group of processes have in common that they are (1) concerned with all aspects of professional cataloging, including resolution of complex bibliographical problems related to retrospective conversion as well as to copy cataloging; (2) concerned with the initial searching of titles coming into the department and determining assignments of titles to professional catalogers or to L.C. catalogers. The latter group of processes have as their basic concern the activities related to bibliographic control, including: maintenance of both manual and automated databases.

As currently structured, Pre-Cataloging is a separate section headed by a professional cataloger and, as shown in Figure V, its major activities are solving bibliographic problems, searching the OCLC database for cataloging copy, sorting books for routing to other cataloging units based on the type of copy found, and analyzing and recording statistics. The processes and sequence of steps in the workflow within the Pre-Cataloging section are well organized, with speed and accuracy well ensured; interface with other sections within the

Cataloging Department is clear and well defined in the workflow chain; all processes for which Pre-Cataloging is responsible are accomplished within that unit, thus avoiding the need for multiple transfer of books and records back and forth between Pre-Cataloging and other units. The key processes in Pre-Cataloging are, however, searching the database for appropriate cataloging records and routing items to either original catalogers, L.C. catalogers or serials catalogers based on the type of record found; these processes appear to relate directly to professional cataloging where there is expertise to resolve any bibliographic question prior to items being routed to other units. Moreover, many items processed by pre-cataloging do not require professional attention. For that reason, the professional in charge of the unit has been assigned responsibility for some original cataloging of serials, book continuations, etc., in order to make use of time not needed for the pre-cataloging process itself. The question may, therefore, be raised as to whether the pre-cataloging function might not operate more effectively in the context of a professional cataloging/pre-cataloging unit with professional aspects dealt with by the head of the combined unit. This arrangement would, then, release the existing professional head of the Pre-Cataloging unit to spend much of her time on professional cataloging itself. Directly related to the above proposals are those for original cataloging.

Original cataloging of monographs, as presently organized, is performed by two full-time monographic catalogers and by the head, L.C. Cataloging section, as time permits. Original cataloging of serials is presently performed by one full-time professional and by the head, Pre-Cataloging section, as time permits. Each cataloger holds responsibility for monitoring national and regional standards to serve as a basis for suitable local standards; questions and/or conflicts that may emerge are resolved by the Department Head.

The present organization of original cataloging, however, is so scattered that it mitigates against the level of control and uniform standards necessary if maximum productivity is to be achieved; furthermore, under the present organization, all problems must be referred directly to the Department Head. There would appear, therefore, to be persuasive arguments to consolidate all original cataloging into a single unit (in conjunction with pre-cataloging). This would result in two full-time and one half-time professionals being available to perform original cataloging as well as professional aspects of copy cataloging and retrospective conversion and reclassification. It would also relieve the Department Head of concern for routine work and for resolving all bibliographic questions that are generated in original cataloging. Such an arrangement would directly affect the present organization of retrospective conversion.

The professional responsible for retrospective conversion has reported directly to the Head of the department. She has interacted with the head of the L.C. Cataloging section regarding L.C. catalogers' duties to complete conversion processes. The level of productivity of the professional charged with retrospective conversion has been exceptional (if not phenominal) during the past several years. The flowchart describing this work indicates excellent attention to quality and has achieved good sequential movement along the workflow chain. Some conversion and reclassification, however, has been carried out by original catalogers as time has permitted. Because the resolution of bibliographic and classification problems is the major concern of a professional in the process of conversion, the process itself is clearly an aspect of original cataloging. For that reason, it appears desirable to include professional aspects of retrospective conversion in a unit exclusively responsible for this as well as all other aspects of professional cataloging. This arrangement will make it possible for the Department Head and the unit head to plan the work of

original catalogers based on the projected flow of new cataloging into the department and on time that will remain for resolving bibliographic problems generated by pre-cataloging and copy cataloging as well as for carrying out professional aspects of conversion of records. Ability to plan and closely monitor the work of professional catalogers is of particular importance if retrospective conversion is to be carried out on a routine and systematic basis. The creation of a professional cataloging unit in which all aspects of professional cataloging are consolidated serves as a basis for similar change for those processes that make up bibliographic control.

As stated earlier, those functions that related directly to bibliographic control are now scattered through three separate units: Bibliographic Records, automated database maintenance, and Shelf Preparation.

As shown in Figure V, the activities of the Bibliographic Records section are primarily concerned with the maintenance of the manual database, i.e. the card catalogs, including the author-title catalog, the subject catalog, the classified catalog and the authority file. Activities in that regard, as indicated in Figure V include resolving name, subject heading and classification problems; sorting, routing and filing cards, making corrections on manual and machine readable records, making authority cards, cross references, guide cards, etc., as well as recording statistics. The flowchart for bibliographic records processes indicates good sequential movement and suitable attention to editorial and other work to achieve uniformity of practice and routing records to the various catalogs. The policies of the unit, itself, indicate a well thought-out plan for dealing with the many changes brought about by AACR II, by L.C. and local practice. Under the present structure, however, Bibliographic Records has only limited responsibility for maintenance of the one automated database operated by the library, i.e., DataPhase system.

Responsibility for the maintenance of the bibliographic records in the DataPhase database, recently transferred to the Cataloging Department by the University Librarian, now rests with the Coordinator of Automated Cataloging. Although the Coordinator is also head of the L.C. Cataloging section, the maintenance of the DataPhase database is not a part of that section but exists as a separate entity with processes being carried out by personnel in various sections, depending on the nature of the process, i.e., whether a serial or monograph, etc. Although the Coordinator of Automated Cataloging exercises excellent control over the maintenance of the database, it would appear, in terms of organization, that the database should be a part of a Bibliographic Control unit.

The basic objectives for database maintenance would appear to apply to both manual and machine-readable ones; only the methods of carrying out the objectives would vary. It is important that standards, practices and achievement of uniformity apply equally to both manual and machine-readable records. During the next several years, when manual and automated databases must be simultaneously maintained, it appears both logical and desirable that they be under the control of a single unit responsible for both. Once an on-line catalog becomes a reality, there may be few, if any, manual databases remaining. Thus, the establishment of a comprehensive Bibliographic Control unit at this time would be a forward step in providing for the future as well as a means of meeting present needs. This inclusion of machine-readable databases as a part of a Bibliographic Control unit directly affects processes now carried out in Shelf Preparation.

The Shelf Preparation section, as shown in Figure V, is responsible for creating item records for the DataPhase database, in addition to the traditional activities of labeling spines, inserting date-due slips, location symbols and

security strips as well as matching process slips with cards, sorting and routing processed items. The workflow chart for Shelf Preparation shows a splendid progression of work, in good sequence and with no repetition at any point. Although the work in Shelf Preparation is well organized, the close association of its processes to those in Bibliographic Control (as described above) would appear to be a reasonable basis for making Shelf Preparation a part of that unit (Bibliographic Control) rather than to continue, as at present, as a separate section reporting directly to the Department Head. The linking of OCR labels in physical volumes to the item records in the DataPhase system, along with the matching of process slips and cards, is directly related to other database maintenance activities that should be a part of a Bibliographic Control unit. Having these processes as a part of a comprehensive Bibliographic Control unit would, therefore, place in that unit all activities that relate to the final preparation of cards for the catalogs, item records and maintenance of holdings for the automated database, and books for the shelves. Some factors related to shelf preparation also apply to serials cataloging as this is presently structured.

The workflow chart for Serials Cataloging indicates a well organized and unified flow of work. In contrast to monographic cataloging, the Serials Cataloging section includes both original and copy cataloging activities in a single unit. There is, however, a serious flaw in the workflow for the Serials Department that relates directly to Serials Cataloging. As currently structured, the preparation of data sheets (in the Serials Department) for the creation of item records in the Serials Masterfile is conducted prior to the creation of an official cataloging record; thus, the information that initially goes into the Masterfile and into the KULS record (which is used by patrons) may not match and may not be complete in important respects to the cataloging record that is prepared by Serials Cataloging. To correct this flaw will require that the

cataloging record be established immediately after the check-in process in the Serials Department.* Although less serious in nature, there are similar problems with other aspects of serials workflow that result from the separation of serials cataloging from the Serials Department, including the necessity to transmit information on all newly-bound volumes of periodicals to the Serials Cataloging section for recording in the Serials Record File. Such problems in serials workflow can be addressed in at least three ways: (1) change the current workflow and location of the Serials Cataloging section, maintaining the present organization; (2) de-centralize serials cataloging and integrate it into the pre-cataloging, copy cataloging and monographic (original) cataloging units; (3) make serials cataloging a unit within the Serials Department. Each of those options will be briefly discussed.

By changing the workflow, under the present organization, to provide for the initial searching of serials on OCLC in the Pre-Cataloging section (as is currently done for monographs), the cataloging record for serials would be established immediately after check-in; this would correct the major flaw in serials workflow cited earlier. Relocating the Serials Record File (and presumably the copy cataloging process of Serials Cataloging) to a site adjacent to the Serials Department would make possible the elimination of certain files in the Serials Department that duplicate those in the Serials Record File.

By eliminating Serials Cataloging as a separate section, all of its processes would be absorbed into those already established in the Cataloging Department for the processing of monographs. Thus, initial searching would be conducted in Pre-Cataloging, L.C. cataloging would be performed in the L.C. Cataloging section and original cataloging would be carried out by the original (professional) cataloging unit. Under this arrangement, the present workflow

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*The Serials Cataloging section is presently establishing the cataloging record.

problems would be solved, the Serials Record File would be easily relocated and greater unity of cataloging processes could be achieved.

By making the Serials Cataloging section a unit within the Serials Department, a logical, well-unified workflow could be achieved, thus creating maximum control over all serials processes from initial order and receipt to the final process of cataloging. Under this arrangement, the truncated workflow now observed by the Serials Department would be transformed into a complete, uninterrupted chain; this would allow for the inter-relationships that are needed between the two units. By making Serials Cataloging a part of the Serials Department, cataloging would become an integral process related exclusively to serials, thus achieving greater unity in the total serials process, centralizing responsibility for that process and expediting the flow of records to their various databases and the flow of materials to the shelves.

The first option for Serials Cataloging, i.e. making modifications to workflow within the existing structure in the Cataloging Department, would correct some obvious flaws in the sequencing of serials processes. It would not, however, lead to the desired level of control for the entire serials operation nor would it allow for the concentration of attention to the over-all serials process that may be desirable to achieve maximum results. The second option, integration of all serials cataloging processes into those currently established for monographs, appears attractive in principle. Based on principle alone, there would appear to be little reason for segregating the cataloging of serials because they are in a different format. They are, after all, subjected to the same processes as monographs. In actual practice, however, the particular setting in which serials now exist in this library would appear to be an argument against decentralization of serials cataloging. At this time, nearly all serials processes in this library need major attention, including comprehensive policies for developing and managing the collections, the manner of creating and

accessing records, and the manner of making the collections and records available to the public. If, indeed, a highly-efficient automated serials system were in place and operating, if an on-line catalog were already functioning, and if policies and procedures for developing and managing serials collections were established, there would be little reason not to abolish Serials Cataloging as a separate process and integrate it into a single cataloging activity. Because, however, those conditions do not prevail, it appears that greatest benefits will be realized through the third option for Serials Cataloging, i.e. preserving it as it is presently structured and making it a part of the Serials Department. This issue will be discussed further later in this Report in a discussion of the workflow in the Serials Department.

The workflow chart for the L.C. Cataloging section indicates meticulous attention to detailed processes and how they are accomplished; moreover, the charts show that work is structured to achieve the best possible use of staff and terminal time. The end result is efficiency of processes, accuracy of records, and speed of movement; however, present workflow for (so-called) L.C. cataloging does not reflect the changes that have evolved since the advent of on-line cataloging. Initially, when network on-line cataloging was in its early stages, numerous factors made it desirable for professional catalogers to handle most, if not all, processes related to the records input into the database by participating libraries. In the early stages of network cataloging, it was also true that L.C. catalogers had achieved only a limited acquaintance with the various aspects of member-input records. Now, however, many of the factors that previously required professional catalogers to handle all member-input cataloging have changed, thus making possible the assumption of much responsibility for this cataloging process by higher-level support staff. Experienced L.C. catalogers, by now, have gained considerable sophistication in their understanding of member-input cataloging as it is related to local practice and

standards; this expedites their ability, with proper training and guidelines, to assume major responsibility for member-input cataloging processes. The factor of member-input cataloging is also related to the manner in which the time of professional catalogers is utilized; this aspect of the subject will be discussed next.

The third weakness, indicated by a study of workflow in the Cataloging Department, has to do with the utilization of professional catalogers to perform activities that may be more appropriately accomplished by properly trained and supervised support staff. Although this factor has been alluded to in other contexts within this Report, it assumes such significance that it deserves additional analysis.

Four activities now carried out by professional catalogers that could be more appropriately performed, it appears, by support staff are: certain aspects of non-L.C. copy cataloging, various processes related to bibliographic records, several pre-cataloging processes, and some aspects of administering the copy cataloging function. Each of those activities will be briefly described below.

Presently, original catalogers perform all tasks having to do with: (1) member-input cataloging, including all editing of the record to make it conform to AACR II rules and to local practice; (2) L.C. cataloging for a different edition. For the past several months, an experimental study has been in progress in the L.C. Cataloging section to determine the extent to which para-professionals may be able to assume responsibility for much of this work. Although the full implications of the experiment are still being analyzed and evaluated, it has been clearly determined that several substantial levels of work may be successfully carried out by well-trained and highly-qualified support staff referring to detailed guidelines. Factors similar to those for member-input cataloging would also apply to tasks concerned with conversion, reclassification, and bibliographic records.

Presently, the Bibliographic Records section is headed by a professional cataloger who spends his full time on various aspects of solving bibliographic problems and editorial work for the manual catalogs. Analysis has revealed that some of that work may be assumed by higher-level support staff who are highly-trained working from detailed guidelines; in addition, some elimination of duplicative tasks and realignment of tasks may be called for. Analysis of the pre-cataloging process has elicited conclusions that resemble those for bibliographic records.

The Pre-Cataloging section is presently headed by a professional cataloger whose primary activity, in that section, has to do with searching the OCLC database for appropriate copy, sorting books according to the record found, and routing books and records to suitable sections in the Cataloging Department for processing. Study of this process reveals that a higher-level support staff member may successfully perform a substantial portion of the tasks that are generated. As in other such instances, cited above, clear guidelines and accessibility to professional consultation will be necessary for support staff to carry out pre-cataloging responsibilities.

Currently, the head of the L.C. Cataloging section (a professional cataloger) is directly responsible for administering the copy cataloging activity. Analysis indicates that a higher-level support staff member may successfully administer some of this work. Supervision and direct administration of this unit by a well-qualified and trained support staff member would allow for the head of the L.C. Cataloging section to perform additional work of a professional nature.

The fourth weakness noted in an analysis of workflow in the Cataloging Department relates to the function of original cataloging. The original cataloging process includes four basic activities: cataloging of new titles (both monographs and se ials), authority work, reclassification and conversion.

Presently, two full-time catalogers are assigned to catalog original monographic titles in addition to 090's (described earlier in this Report). Another full-time cataloger is assigned responsibility for cataloging new serials titles and 090's. A third full-time cataloger performs conversion and reclassification work. Presently, conversion, as performed by this cataloger, is primarily limited to unconverted items detected when they circulate. The work of those three catalogers is supplemented by the head of the Pre-Cataloging section and the head of L.C. Cataloging as time permits from their primary responsibilities; thus, the head of Pre-Cataloging performs original and copy cataloging of new serials titles and book continuations as she has time, while the head of L.C. Cataloging carries out original cataloging activity for new titles and 090's as time allows.

The Head of the Cataloging Department is responsible for establishing standards, interpreting policies, assigning work and training new catalogers.

Analysis of workflow for original cataloging indicates that this function is scattered among five separate units: Monographic Cataloging, Serials Cataloging, Retrospective Conversion, Pre-Cataloging and L.C. Cataloging. The workflow charts for the various activities included in original cataloging are well-defined and well-understood and adhered to by the various parties who contribute to it; nonetheless, the present organization makes it impossible to achieve the desirable level of control over the process. It is, therefore, difficult to monitor the quality of cataloging, to the extent that this is needed, and nearly impossible to establish and implement standards of productivity for this process. Two major factors contribute to the lack of control: (1) the great variety of tasks performed by original catalogers; (2) the present organization of the original cataloging function. The first factor has already been discussed at some length earlier in this Report and the conclusion reached that many activities currently performed by original catalogers may be safely

diverted to higher-level support staff under appropriate supervision and coordination. The second factor relates to the present organization in which the original cataloging process is scattered among five different units.

It appears, therefore, that the original cataloging function should be consolidated into a single unit and clearly defined parameters established for the process itself before adequate control can be exercised over the quality of the work performed and productivity of the personnel assigned to carry out the work.

Serials Department. Analysis of the workflow of the Serials Department indicates that the incumbent Department Head has successfully organized the department into a logical division of processes and distributed very substantial responsibility to support staff that was formerly exercised almost exclusively by the Department Head herself. The flow of work, as shown in the workflow chart, appears logical and complete for those processes actually performed in the Serials Department. As stated earlier in this Report, however, processes that are critical to the efficient functioning of the Serials Department are not presently a part of that unit--a factor that affects the flow of work in nearly every context. This factor constitutes a major weakness to the functioning of the Serials Department; its consequences will be shown in the analysis of workflow, which follows.

Five major weaknesses have been identified in the study of the workflow in the Serials Department: (1) lack of provision for administrative aspects of collection development and collection management; (2) the sequence followed in establishing critical records; (3) the excessive time-lag between preparation of critical records and their production; (4) the level of staff performing certain activities; (5) relative effectiveness of budget control and bookkeeping activities. Each of those weaknesses will be described below.

From the time the Serials Department was established in 1966 up until the present, no provision has been made for policy-making and administration of collection development and collection management for serials publications. For that reason, issues of the highest importance have not been addressed in any systematic manner. Such issues include, but are not limited to, the following: standards and criteria for selection of new serials titles; standards and criteria for selection of serials titles to purchase on microform or to convert to microform; methods for effective analysis of selection priorities based on teaching departments or programs, budget analysis, criteria for binding (or other means of preservation) for serials titles that are included in the general circulating collection. The consequences resulting from this void in organization have been and continue to be felt at every level of the library that is concerned with serials.

Under the present operating procedures for the Serials Department, as shown in the flowchart, it will be difficult for the Department Head to assume responsibility for administrative aspects of collection development and management because he must perform so many tasks at different points in the workflow. The chart indicates that the Department Head performs eight distinct tasks related to the preparation and generation of the Masterfile, along with a single step related to bindery preparation, and all but one of the tasks relating to processing of order recommendations. The lack of provision in the definition of the Serials Department for appropriate levels of collection development and management resembles in its nature the next weakness of organization, that is, the improper sequence followed in establishing critical records.

The sequence followed for preparation of bibliographic and holdings data for the Serials Masterfile (and for KULS files) indicates that code sheets, used as a basis for input, are prepared prior to the establishing of the catalog record; indeed, the catalog record is not established until near the end of the

entire workflow chain after items reach the Cataloging Department. The consequences of this are serious in that the data that goes into the Serials Masterfile and into the KULS printout (used by library patrons) may lack such basic information as: call number, history notes relating to title changes, etc., birthdate of the serial. Thus, under the current workflow, this information may not be available until a given item is fully cataloged (by Serials Cataloging section) and the cards supplied to the Serials Department and to KULS. Because the Serials Department does not contain a cataloging unit and because the Department Head (who is a professional cataloger) does not have the time to search the OCLC database to establish the cataloging record, this vital process has been left unattended.*

The third major weakness noted in the study of serials workflow has to do with what appears to be excessive time required for: generation of the Serials Masterfile by the University Computer Center, processing of serials invoices, preparation of purchase orders for serials subscriptions, and claiming of missing issues.

In regard to the Serials Masterfile, up to three months is required from the time records are received from the Serials Department, for the University Computer Center to generate a new printout for the Masterfile. Apparently, the key-punching of each record into the system requires that amount of time; even so, the error-rate in the finished printout is higher than desirable.

What appears to be an undue amount of time required to perform processing of serials invoices, preparation of purchase orders and claiming of missing issues may be attributed, in part, to the multitude of subscriptions that are presently placed directly with individual publishers rather than through a jobber. Moreover, the dependence on manual methods for these processes requires a great amount of staff time.

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*This process is currently being carried out by the Serials Cataloging section.

The fifth weakness, noted in the study of workflow for the Serials Department, is the level of staff performing certain activities; this factor relates only to the Head of the department. The present Head of the Serials Department is a professional librarian with long and varied experience in both public and technical services processes. His specialty is as a professional cataloger. The definition of the Serials Department, as presently constituted, would not appear to require a professional as Head. Collection development and collection management are not, at present, component activities of the Serials Department, nor is cataloging nor database maintenance (except for the level included in the Serials Masterfile). Because of the limited scope of the Serials Department, therefore, the Head of that unit is routinely involved in what amounts to clerical detail. An exception to this routine involvement began at the time the current Department Head took office. At that time, he established new policies, procedures and workflow. Subsequently, particularly since the appointment of the Acting Director of Technical Services, the Department Head has been given special assignments related to planning, collection development, and organization studies. The present definition of the department does not, however, provide for such activities on a continuing basis.

Whatever form the Serials unit takes, several steps may be pursued to address workflow problems that have been identified. In regard to the need for the catalog record to use as a basis for the Masterfile, the present workflow should be changed to allow for Serials Cataloging to establish this record as the next step after an item is checked-in. This will involve an awkward transaction, under the present organization, of transporting volumes back and forth between Serials Cataloging and the Serials Department, but the importance of the record justifies the action.

The need to speed-up the generation of the Masterfile and to reduce the rate of error, identified as a weakness in workflow, may be addressed by

investigating the feasibility of Serials Department personnel inputting the record directly rather than having this done by staff in the University Computer Center. This would require that a terminal be installed in the Serials Department. Moreover, its success will depend upon whether it will relieve the Computer Center of having to key-punch data once it has been received.

The great amount of time spent in processing serials invoices, preparation of purchase orders and claiming may be greatly reduced by placing the maximum number of subscriptions through jobbers rather than to continue the current practice of placing them directly to publishers.

It may, therefore, be concluded that if the present limited scope of the Serials Department is retained, a higher-level support staff member may successfully perform the responsibilities of the head of such a unit. Moreover, consistent with conclusions reached in regard to Structure (Part II of this Report), there is considerable question as to whether the Serials unit, as presently constituted, should have the status of a department. It might, instead, be made a part of an existing department that performs similar functions. This arrangement would allow for professional attention to the Serials unit without requiring a professional head of the unit itself. The alternative to such an arrangement would be to expand the scope of the Serials Department to make it comprehensive in nature.

Levels of Productivity

The levels of productivity achieved by the technical services departments are key elements in evaluating the effectiveness of their existing structures, workflow and utilization of personnel. Productivity, however, is one of the most complex factors to analyze in any organization because it is affected by such a wide and inter-dependent web of conditions and circumstances, many of which extend beyond the scope of this Report. Thus, personnel policies,

compensation, motivation, leadership of supervisors, established standards, and general working conditions, to name but a few, directly affect the amount and quality of work performed by a given group of employees. Analysis of those factors, among many others, applied to the technical services departments would constitute a study in itself; such analysis is, therefore, beyond the scope of this Report.

It will be the purpose of this part of the Report to examine how productivity appears to be affected by the current structure, workflow and utilization of levels of personnel in the various technical services departments and to identify changes that might reasonably be expected to improve productivity. Based on that objective, therefore, each department will be examined below.

Acquisitions Department. The Acquisitions Department currently is composed of one professional and 4.2 support staff members. The single professional serves as Head of the department; his responsibilities include collection development and management for the Central Libraries in addition to administering the Acquisitions Department. The 4.2 support staff members are each assigned to one of the following activities: collection development, ordering/receiving, gifts and bookkeeping. Figure VII shows Acquisitions staff assigned to the various activities. During the past several years, the number of materials handled by the Acquisitions Department has been relatively constant and includes, annually, 18,981 titles ordered; 17,535 titles received; and 2,175 invoices processed. Gifts processed during that time amounted to 2,000 titles and Bingham Poetry Room orders totaled 467 annually.

During the past two years, the Acquisitions Department has utilized the ØLAS computer-based system for ordering, claiming, generating records, etc. Beginning in the spring of 1983, the Gaylord Acquisitions (microcomputer) System replaced the ØLAS system in the department. Both the ØLAS and Gaylord systems have been beneficial to the operation of the department but neither

FIGURE VII: PROFESSIONALS AND STAFF ASSIGNED TO SIX ACTIVITIES IN THE ACQUISITIONS DEPARTMENT

ACTIVITY	PROFESSIONALS	STAFF	TOTAL
Administration	.5		.5
Collection Development	.5	.7*	1.2
Ordering		1.0	1.0
Receiving		1.0	1.0
Gifts		.5	.5
Bookkeeping		1.0	1.0
TOTAL:	1	4.2	5.2

*Includes .5 staff for general collection development assistance and .2 staff for Bingham Poetry Room collection development assistance. Collection development activities for the Bingham Room are carried out by the Administrative Assistant in the Cataloging Department.

system has provided comprehensive coverage of all major processes, with desired speed at reasonable cost. Both systems have been particularly limited in their ability to generate the desired level of notifications in regard to status of orders to send to participants in the ordering process. The ØLAS system relied on microfiche for this purpose resulting in cumbersome procedures and poor quality of copy when print-outs were made. The Gaylord system relies on large sheets for such print-outs and the printer is exceptionally slow in producing print-outs.

In spite of the limitations of the two acquisitions systems, the level of productivity for this department appears quite high considering the unusually small staff. This reinforces and confirms the observations made earlier in this Report in regard to structure and workflow, that the Acquisitions Department is well organized and highly efficient in all of its activities. The collection development function, however, has not been supported on a consistent basis with

support staff, thus placing an undue burden on the Department Head in his dual role as Head of Acquisitions and as Collection Development Officer for the Central Libraries.

The existing workflow chart along with internal structures in the Acquisitions Department appear to be effective in achieving the desirable level of productivity. Thus, as the volume of new materials increases, additional support staff, assigned to existing unit heads, may be needed. Moreover, substantial increases in new acquisitions will create a critical situation in regard to the existing Gaylord Acquisitions System because of its exceedingly slow response time in carrying out the various processes.

If, as anticipated, the collection development role of the Head of Acquisitions is expanded to include all university libraries, it will be necessary to provide him with additional staff assistance; this will probably take the form of one full-time higher-level support staff to supervise staff and student workers who perform checking of designated bibliographies, serving as liaison with members of the Collection Development Council and compiling data for use in collection development. In addition, more lower-level staff and student assistants may be needed to fully implement the Collection Development Policy.

Cataloging Department. Shown in Figure VIII are the number of professional and support staff who are assigned to the eight activities of the Cataloging Department. The numbers are based on both positions which are currently occupied and on those that are currently vacant but still assigned to the Cataloging Department.

Figure IX shows the mean number of items processed by the Cataloging Department for a three-year period (1980 through 1982) grouped according to type of processing performed and indicating the percentage of total items processed represented by each category. The mean number for the three-year period was considered a more accurate measurement of the production of the

FIGURE VIII: PROFESSIONAL AND SUPPORT STAFF TIME ASSIGNED TO EIGHT ACTIVITIES IN THE CATALOGING DEPARTMENT

ACTIVITY	PROFESSIONALS	SUPPORT STAFF	TOTAL
Department Administration	1.3[a]	.75[b]	2.05
Pre-Cataloging Section	.85[c]	1.25[b]	2.1
L.C. Cataloging Section	.7[a]	4.0	4.7
Monographic Cataloging	2.0	---	2.0
Serials Cataloging Section	1.15[c]	2.0	3.15
Bibliographic Records Section	1.0	5.5	6.5
Shelf Preparation Section	---	2.5	2.5
Reclassification and Conversion	1.0	2.0	3.0
TOTAL:	8.0	18.0	26.0

[a]Reflects one-third time of Head, L.C. Cataloging Section spent in role as Coordinator of Automated Cataloging.

[b]Reflects three-fourths time of Administrative Assistant in his administrative role and one-fourth spent in tasks related to Pre-Cataloging.

[c]Reflects 85% of time of Head, Pre-Cataloging Section spent in her role as section head and 15% spent in cataloging of serials.

department than would a single year because of the extreme variations in numbers of new acquisitions from one year to another. Appendix II provides more detailed information related to production, including definitions of symbols used for categories of processing, recorded backlogs, percentages processed according to language and according to professional school library destinations; Appendix II also shows a breakdown by year according to category of materials processed by the department.

According to Figure IX, 20,213 items (or 47.9% of total) were processed by the Cataloging Department, exclusive of reclassification and conversion; the

FIGURE IX: MEAN NUMBER OF ITEMS PROCESSED BY THE CATALOGING DEPARTMENT FOR THE YEARS 1980 THROUGH 1982 ACCORDING TO CATEGORY AND PERCENTAGE REPRESENTED BY EACH CATEGORY[1]

CATEGORY	MEAN NUMBER	% OF TOTAL PROCESSING
LC I	4,414	10.48
LC II	5,105	12.12
LC III	361	.86
090	2,376	5.64
090E	552	1.31
0	346	.82
0E	17	.04
AC	637	1.51
S New Titles[5]	589	1.4-
S Cessations/Conv/Reclass[2]	291	.29
AV[6]	5,221	12.4-
Theses	304	.72
Reclass[3]	1,527	3.63
Conversion[4]	20,372	48.38
TOTAL:	42,112	100.00

[1]Book continuations not included.

[2]Figures represent an average for a two-year period.

[3]There are currently 43,000 titles remaining to be reclassified from D.D.C. to L.C. in the Ekstrom Library.

[4]There are approximately 107,000 titles remaining to be converted into machine-readable form, including approximately 5,000 serials titles.

[5]Includes new cataloging records created as a result of newly-acquired titles and successive entry titles.

[6]Includes approximately 3,921 added volumes of bound periodicals.

remaining 21,899 items (or 52.1% of the total) were reclassifications and conversions. The large percentage of reclassifications and conversions processed during this three-year period may be attributed to the fact that a full-time professional and the equivalent of two full-time staff members were assigned to conversion. At the end of that period, according to Appendix II, there was a small backlog of physical volumes and a sizeable collection of microforms, composing 18,661 items. The backlog of only several hundred volumes appears relatively insignificant, considering the total items processed by the department. The number of microforms that were backlogged, however, does appear to indicate that as work is currently structured, there may not be sufficient professional time available to process all items that require professional attention; it may also indicate that the amount of conversion required by the department by the prevailing policy may be too great to allow adequate time for new titles. In that regard, it must be noted that microform collections pose special problems for a Cataloging Department because they frequently represent purchases of large numbers of titles all of which appear at the same time; thus several years may be required to complete the necessary cataloging. In this particular circumstance, however, no significant progress in cataloging has been possible during the several years the collection has been in the department. An examination of the work performed by professional catalogers may further elucidate this problem.

According to Figure IX, professional catalogers processed 4,545 items, amounting to 10.79% of the total; this included L.C.III's, 090's, "0"'s, OE and new titles of serials and theses. Actual new titles for which there was no copy available ("0" level) amounted to only 346 monographs and 304 theses, or a total of 650 titles. Thus, 3,306 items processed by professional catalogers represented titles for which copy on some level was available in the OCLC database, the 090's alone amounting to 2,928 items. The question may, therefore, be

raised as to whether the time and effort spent by professional catalogers on titles for which copy was available in the database could not have been better used in analyzing the microforms backlog, utilizing L.C. catalogers to process the 090's, 090 E's and perhaps L.C.III's.

The manner in which the time of professional catalogers is utilized takes on even greater significance when related to the substantial increases in purchases of new titles that are expected from reallocated funds (deriving from program reductions in the University) and from the proceeds of the major fund-raising campaign now under way. Although the percentages of new titles that relate to the various categories in Figure IX are not expected to change significantly, the over-all quantities will be likely to increase significantly. For that reason, it is essential that professional catalogers have time available to address those tasks which only they have the ability to perform; thus, it is imperative that support staff be utilized for other tasks to the maximum extent possible. It is also highly desirable that professional time be available to make reasonable progress in reclassification and conversion work. Diverting major responsibility for 090's and possibly L.C.III's to L.C. catalogers, simultaneously maintaining a reasonable level of conversion, and processing an increasing number of new titles will have implications for the L.C. Cataloging unit.

The current production level for L.C. catalogers, based on present policies, is 10,156 items (L.C.I's and L.C.II's, AC's) that they perform essentially without assistance; if added to this is the 25,855 items they process (including reclassification and conversion), their total production is approximately 36,011 items. Because this level of production has required the full time of the six L.C. catalogers, if substantial responsibilities are added, more staffing may be required. This issue will be addressed in greater detail in Part III of

this Report as it relates to the proposal for a new organization for the Cataloging Department. The precedent, however, has already been established among many libraries to divide responsibilities for given processes between professional catalogers and support staff.

Thus, the trend to give greater responsibility to support staff has gradually increased, especially since the advent of network cataloging several years ago. The proposal, advanced above, to transfer responsibility for a major portion of member-input records to support staff is, therefore, not a radical departure from existing practice among many libraries; it merely extends the degree of discrimination exercised by support staff in the selection and editing of member-input cataloging. With detailed guidelines from which to operate and with proper supervision, support staff may be expected to develop the skills needed for those processes.

The number of records that were converted, under the retrospective conversion project, to machine-readable form, according to the mean for the three-year period (shown in Figure IX), was 21,899. That represents a commendable effort on the part of the Cataloging Department. If at least that rate were to be continued, all remaining records could be converted in 6.8 years (150,000 titles ÷ 21,899 = 6.8 years). It is hoped that the time made available to professional catalogers by freeing them from major responsibilities for the 090's and L.C.III's, combined with the establishment of a professional cataloging unit, will allow sufficient professional time to process original cataloging, resolve professional cataloging problems related to 090's and L.C.III's and still allow for continuing progress in conversion and reclassification. This issue will be discussed further in Part III of this Report.

Because of the great importance of serials processes, it is desirable to examine the level of productivity for that process apart from monographs. Based on Figure IX, a total of 6,101 items were processed by the Serials

Cataloging section based on the mean for the three-year period 1980-82, including 589 "new" titles, 5,221 added volumes and 291 cessations, conversions or reclassification items.* As shown in Figure VIII, 1.15 professionals and two support staff are assigned to serials work. At the time of the writing of this Report, there was a backlog of approximately 125 serials titles waiting to be cataloged, according to data supplied by the Head of the department. It is estimated, from a shelf-list measurement conducted by the Head of the Serials Department, that approximately 5,000 serials remain to be converted.

During the period covered in Figure IX, virtually no new serials titles were acquired by the library; however, a number of older, uncataloged titles held by certain professional school libraries were processed by Serials Cataloging. Those titles are reflected in "S New Titles" in Figure IX; most other titles reflected in that category were records created as a result of successive entry titles. Of the added volumes processed by Serials Cataloging ("AV" on Figure IX), nearly 75% were added volumes of bound periodicals reported by the bindery unit of the Serials Department, thus requiring only limited treatment by Serials Cataloging. Around 1,300 added volumes, therefore, constituted items requiring substantial treatment by Serials Cataloging.

Because of the lack of detailed data concerning production in the various processes of serials cataloging, it is difficult to draw conclusions concerning the levels of productivity in this unit. It would appear, however, that conditions regarding the use of professional time in serials cataloging were similar to those in monographic cataloging. Thus, the professional cataloger appears to have spent much of her time on processes relating to member-input cataloging. For that reason, conclusions similar to those reached in regard to monographic

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*Additional conversions and reclassifications of serials items were included in "Conversion" in Figure IX. Data on the actual number of serials is not available.

cataloging, may be applicable to serials cataloging. The question may, therefore, be raised as to whether much professional time in serials cataloging could not have been better spent in performing retrospective conversion (particularly in the absence of many new serials titles to process) than in performance of work that could more appropriately be carried out by higher-level support staff.

In the same manner, as described earlier, that copy catalogers could perform major processes related to member-input cataloging for monographs, serials copy catalogers could perform them for serials. This would release professional time for carrying out original cataloging processes and retrospective conversion. The need for professional time is of particular significance for serials cataloging in view of the expected increase in the acquisition of new serials titles and of the need to make significant progress in the conversion of remaining serials titles to machine-readable form. This issue will be studied further in Part III of this Report.

As shown in Figure VIII, the Bibliographic Records section includes one professional and 5.5 support staff. Based on data shown in the Cataloging Department Annual Report for 1979/80 - 1981/82 (Appendices III, IV & V), average production of that unit included 29,466 major transactions. Those transactions included corrections to cards, new authority cards and references as well as transfers and withdrawals. Although total productivity of the Bibliographic Records section appears impressive, considering the impact of AACRII, a recurring problem is the extended time required for cards to be processed. Moreover, the appointment of the professional head of this unit to serve as Acting Head of the Cataloging Department has further exascerbated this problem. It appears, however, that some processes in Bibliographic Records that are currently performed by a professional cataloger and by staff can be modified to eliminate duplication of effort expended earlier in the cataloging process. Such processes

need to be clearly identified and described to determine how they may be modified and structured to allow for more participation by support staff working from detailed guidelines and under appropriate direction. It is, however, unlikely that additional support staff will be needed to upgrade this operation.

Staffing of the Pre-Cataloging section, as shown in Figure VIII, was made up of a single professional and a single support staff member, in addition to around 25% of the time of the Administrative Assistant in the Cataloging Department. The professional head of the unit spent an estimated 15% of her time in cataloging serials and book continuations, in addition to the approximately 85% devoted to pre-cataloging processes.

As a mean figure for the years 1980-82, the Pre-Cataloging section processed 14,300 titles. Although the level of production achieved by this section appears reasonable, the fact that the professional head of the unit was able to spend around 15% of her time performing serials cataloging and book continuations indicates that all of her time is not needed for pre-cataloging activities. Moreover, based on the nature of many of the processes in pre-cataloging, there is reason to believe that a highly capable support staff member may be able to perform some of the responsibilities now carried out by the professional head of this unit; thus, it appears possible to reduce the professional time needed for pre-cataloging and to divert it to professional cataloging. Similar conclusions were reached concerning monographic catalogers earlier in this Report. It, thus, appears possible, by diverting additional professional time of monographic catalogers, conversion cataloger and the existing head of Pre-Cataloging section to professional cataloging processes, to substantially increase the speed and level of production of original cataloging and still make continuing progress in reclassification and conversion.

The Shelf Preparation section, as shown in Figure VIII, is composed of the section head and one and one-half support staff in addition to student assistants. As shown in Appendix V , this section, in 1981-82, carried out 35,294 transactions, including the labeling of spines, attaching bookplates, security strips and cards and pockets and creating item records in the DataPhase database. The level of production is laudable. If, however, there are substantial increases in volume of work, additional staff and/or student help will be needed.

Serials Department. Figure X shows the number of professionals and support staff in the Serials Department assigned to the five activities performed by that department. Figure XI indicates the transactions carried out for three

FIGURE X: PROFESSIONALS AND STAFF ASSIGNED TO FIVE ACTIVITIES IN THE SERIALS DEPARTMENT

ACTIVITIES	PROFESSIONALS	STAFF	TOTAL
Administration	.75	-0-	1.0
Preparation of Masterfile	.25	-0-	-0-
Serials Control	-0-	.80	.80
Check-in/Claims	-0-	1.20	1.20
Binding Processes	-0-	1.0	1.0
TOTAL:	1	3	4

activities in the department, including check-in's, claims and binding processes. Transactions for the Serials Control unit and preparation of the Masterfile are not included because the nature of the work performed in these processes is not easily susceptible to defining in transactions. Based on Figures X and XI, 2.2 support staff carried out 32,116 transactions, resulting in an average of 14,598 transactions per staff. The full time of those staff members is required to carry out the check-in/claims and binding activities based on the current

number of serials subscriptions and present rate of binding/mending activity. The major time of the staff member assigned to Serials Control is required for maintaining the cost records and related files of invoices and correspondence related to subscriptions for the present 4,000 titles listed in the Serials Masterfile. The professional Department Head must now spend a minimum of 25% of his time preparing data sheets for the Serials Masterfile, including pre- and post-order searching. The Department Head also holds responsibility for all processes having to do with ordering new titles; because funds have not been available for any number of new subscriptions for the past several years, there has been little activity in this area.

FIGURE XI: ESTIMATED TRANSACTIONS FOR THE YEAR 1983-84 FOR ACTIVITIES IN THE SERIALS DEPARTMENT

ACTIVITY	TRANSACTIONS
Serials Control	Not applicable
Masterfile Preparation	Not applicable
Check-in	16,836
Claims	888
Binding Processes:	
Binding preparation	6,255
Mending & Post-binding	2,985
Duplicate & Exchange	5,152
TOTAL:	32,116

The basic conclusions that may be drawn from an examination of productivity in the Serials Department closely parallel those arrived at in the previous sections of this Report relating to structure, workflow and utilization of personnel; that the current definition of the Serials Department is so limited that the basic activities it carries out are largely non-professional in nature.

Under the present organization, the Department Head performs all activities having to do with ordering new titles, preparing data for the Masterfile, selection of vendors, recording statistics, etc.; few of these activities appear to require a professional librarian to carry them out. Thus, although the present productivity of the Serials Department addresses those activities that are currently included in the definition of the department, many other activities that specifically require professional attention are not carried out by anyone. This void in the present organization of the Serials Department has indirect effects on the production and effectiveness of other units of the library, although these would be difficult to measure. The lack of policies and professional support relating to the development and management of the serials collection, the preservation of the collection, and the formats of the collection have created problems throughout the Central Libraries; substantial time has, therefore, been spent by many persons in ad hoc efforts, to deal with recurring issues that should be addressed in the Serials Department itself.*

Some improvement in productivity may be achieved, in the short term, by implementing recommendations stated in regard to workflow (in the preceding part of this Report). Taking those measures would not, however, address the long-term issues that affect the Serials Department in terms of production and of all other aspects of its functions. Long-term conclusions that may be drawn in regard to the productivity of the Serials Department have to do with the truncation of serials processes in general and the lack of an adequate serials control system. The truncation results from the Serials Cataloging unit and

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*This condition has existed from the time the department was established in 1966. As early as 1981, the Department Head submitted a report, urging that the scope of the Serials Department be expanded, in which he emphasized the critical need for administrative and policy-making responsibilities for the Department Head. This report is available from the Head of the Serials Department.

the Current Periodicals unit not being closely related administratively to the Serials Department. This truncation does not allow for serials processes to be charted in a comprehensive manner and in proper sequence, thus resulting in an incomplete workflow for certain processes, and duplication of effort in others. The existing serials control system constitutes a combination of processes, some of which are automated, some semi-automated and others manual. Substantial staff time is required to compensate for the inadequate control system.

The above factors, therefore, must be addressed if the Serials Department is to achieve a maximum level of productivity in an economical manner. As was stated earlier in this Report, the problem of truncated processes may be addressed in at least two ways: (1) the Serials Department can be abolished and all of its functions absorbed into the Acquisitions or Cataloging Departments; (2) the definition (or scope) of the Serials Department can be expanded to include the administrative aspects of collection development and management, cataloging and current periodicals.

The problem of the present serials control system may also be addressed in two ways: (1) replace the present system with one that is fully automated; (2) retain the present hybrid system and compensate for its inadequacies by providing additional staffing.

The prospect of greatly increased serials subscriptions makes it important to increase the productivity of the Serials Department. How this may be done will be discussed in Part III of this Report.

Conclusions

The analysis of the organization of the Technical Services Division, the internal structure of each department, the workflow for the various processes and the level of productivity indicate that the existing organization by department is still an effective grouping of closely associated activities; however,

major deficiencies have been noted in the internal structures and workflow of the Cataloging and Serials Departments. The internal structure and workflow of the Acquisitions Department appear highly efficient although there is presently inadequate provision for the highly important function of collection development. Conclusions in regard to these factors will be summarized below.

Organization of the Division. The organization of the Division of Technical Services into Acquisitions, Cataloging and Serials Departments appears to be an effective grouping of associated functions. The present division of responsibilities between those that are centralized in the Division of Technical Services and those that are decentralized among the various library units appears to be a sound arrangement, given the current level of development of on-line systems for the libraries. Obviously, as on-line capabilities expand, the possibility and desirability of increased centralization of technical services functions will be likely to grow proportionately.

Internal Structures of Departments. While the internal structure of the Acquisitions Department appears efficient, that found in the Cataloging and Serials Departments suffers from some major deficiencies. In the Cataloging Department, the current structuring of functions according to Pre-Cataloging, L.C. Cataloging, Monographic Cataloging, Serials Cataloging, Bibliographic Records and Shelf-Preparation appears to have limited relevance to the manner in which processes are actually carried out. Moreover, the structure itself appears to inhibit the productivity of the department, both in terms of workflow and the utilization of available personnel. Thus, it may be concluded that the existing sections in Cataloging should be abolished and reconfigured; the basis for reconstituting functions should be the extent to which they are closely associated and inter-related and the extent to which the processes that are combined can be substantially completed within the designated unit with little or no transferring back and forth with other units.

In the Serials Department, the functions that are now a part of that unit appear to be grouped in an effective manner. The Serials Department, as it is currently defined, however, is limited only to ordering, check-in, claiming, and binding. Administrative aspects of collection development, cataloging functions, and current periodicals activities are carried out by other units. The truncated organization of the serials process, therefore, does not lead to the level of control that a separate Serials Department would be expected to achieve. If, therefore, the Serials Department is to continue as a separate unit, it should be expanded to centralize all major serials processes into a comprehensive unit that would include an appropriate level of collection development and management, ordering and receiving, cataloging, current periodicals, and binding. If the unit is to continue under the present limited scope, with other activities decentralized, it should be absorbed into the Acquisitions Department and not function as a separate unit.

Workflow of the Division. The workflow in the Acquisitions Department achieves, in all important respects, a high level of efficiency, while that in Cataloging and Serials shows need for significant improvement.

In the Cataloging Department, the workflow chart indicates a scattering of associated and inter-related processes among the existing sections; moreover, it indicates that a number of processes that are presently performed by professional catalogers may be effectively carried out by higher-level support staff; in addition, it indicates that certain administrative roles performed by professional catalogers is no longer necessary; finally, it shows that by correcting the above deficiencies, the level of productivity of the department may be raised to allow for greater speed in processing new materials and for continued progress in conversion and reclassification of older materials.

Analysis of the workflow of the Serials Department shows major problems relating to sequence, scattering of associated processes, excessive time lags

in creation of records, and level of personnel performing certain processes. Some of these problems may be attributed to the inefficient, patch-work serials system, while others reflect the limited scope (definition) of the present Serials Department. Nearly all processes now performed in the Serials Department are inter-related with those performed in other departments including Cataloging, Acquisitions, and Current Periodicals. It may, therefore, be concluded that the workflow in Serials cannot be significantly improved without a substantial change in the entire organization of serials processes. One of two concepts should be adopted: complete centralization of all processes or complete de-centralization. Once the concept is identified, workflow may be constructed to carry it out in a systematic manner.

PART III

PROPOSAL FOR REORGANIZATION OF THE DIVISION OF TECHNICAL SERVICES

The first sections of this Report have shown that there are major weaknesses in the existing organization of the Division of Technical Services in terms of internal structure of the departments, workflow, and utilization of personnel. These weaknesses must be corrected if the Division is to be as effective as possible in meeting both short-term and long-term needs of the library system. Making such corrections, however, will not be enough. The needs of the future require more far-reaching and radical measures. It will, therefore, be the purpose of this section of the Report (Part III) to: (1) identify assumptions concerning the future that will have a direct bearing on Technical Services organization; (2) stipulate requirements that must be met by any Technical Services organization in order to achieve the level of efficiency (in the most economical manner) to meet future expectations; (3) set forth a scheme of organization that will meet the specified requirements; (4) assess the staffing that will be necessary to operate under the new organization. Each of those four steps will be addressed below.

Assumptions Concerning the Future

Before any meaningful planning of Technical Services operations can be conducted, it will be necessary to make certain assumptions about the future that will serve as a basis for such planning. Such assumptions must be provided by Library Administration, based on its best judgment, and address the major factors that will be likely to affect the planning of an organization for the Division of Technical Services, including: the extent of new titles to be

acquired by the libraries, the progress toward and implementation of an on-line catalog (with allied sub-systems), the addition of new responsibilities to technical services operations, expectations concerning in-house conversion of records. Those assumptions, approved by the University Librarian, are stated below:

(1) The work generated by the flow of newly-acquired monographic and serials titles, through departments of the Division of Technical Services, will be increased, beginning in 1983-84, as follows:[1]

FIGURE XII: NEW MONOGRAPHIC AND SERIALS TITLES (OVER AND ABOVE LEVELS FOR 1982/83) THAT WILL BE ACQUIRED BY TECHNICAL SERVICES GROUP LIBRARIES, 1983/84 - 1992/93[2]

Year	Serials Titles	Monographic Titles
1983-84	523	2,413
1984-85	376	1,410
1985-86	91	339
1986-87	2,000	18,781
1987-88	1,989	7,119
1988-89	1,911	7,167
1989-90	1,154	8,180
1990-91	775	8,725
1991-92	355	8,250
1992-93	358	8,316

(2) Beginning in the fall of 1983, the Cataloging Department will be given full responsibility for maintaining the bibliographic records in the database of the DataPhase Circulation System.

[1]See Appendix VI for detailed analysis of new funding sources and divisions among library units.

[2]The term "Technical Services Group Libraries," as used in these assumptions, refers to: Division of Central Libraries, Music Library, Law Library and Engineering Library.

(3) A request for a special allocation to start-up an on-line catalog will be included in the Biennial Budget Request for 1984-86. Such an on-line catalog may be constituted, but not limited to, one of the following configurations:
--- a total integrated library system with on-line catalog, and acquisitions, serials, circulation and other sub-systems (based on the model envisioned in the forth-coming report of the Taskforce on the Future of the Catalog);
--- an on-line catalog operating in conjunction with the existing DataPhase Circulation System but without any sub-systems for other functions;
--- an on-line catalog functioning independently without any sub-system or conjunctive systems;
--- an on-line catalog functioning as a part of a consortium of library participants with or without sub-systems.

(4) The selection of an on-line catalog system may be conducted in one of the following ways:
--- preparation of specifications and advertising for bids from selected vendors;
--- purchase contract directly with a vendor for a specific operational system;
--- participating in a consortium utilizing one of the above methods of selection or other methods of selection.

(5) Within the year 1983-84, determinations will be made as to configuration of an on-line catalog and associated sub-systems (if any) and as to the method of selection and purchase.

(6) Within the year 1983-84, a determination will be made as to the extent of retrospective conversion that must be completed prior to implementing an on-line catalog. Also within the year 1983-84, determinations will be made as to the best method for accomplishing the conversion of remaining cataloging records to machine readable form. If the determination is made to accomplish all or part of the conversion effort in-house, that effort will begin in 1983-84, if staffing is adequate to do so. If staffing is not adequate to do so, funding will be requested in the 1984-86 Biennial Budget for this purpose. If the determination is made to accomplish all or part of the conversion effort through a commercial vendor, funding for that purpose will be requested in the 1984-86 Biennial Budget.

(7) Once an on-line catalog system has been selected and funding for that purpose assured (hopefully by the fall of 1984), detailed planning will be started, in conjunction with the vendor, to prepare for the transfer from the existing card catalog to the on-line catalog. In that context, the following will be planned: determining the status of the card catalog, loading of records, setting up test period, and establishing target dates for beginning public use of the on-line system.

(8) A determination will be made during 1983-84 concerning a new serials system; if a new system is selected, it will be implemented during 1984-85.

(9) A determination will be made during 1984-85 concerning a new acquisitions system; if a new system is selected, it will be implemented during 1985-86.

(10) Implementation of the Collection Development Policy as a basis for comprehensive development and management of all University Library collections will be started by the fall of 1983.

(11) The "collection development officer" will, in that role, report directly to the University Librarian.

(12) The heads of the Professional School Libraries and to-be-designated faculty and staff from the Division of Central Libraries will serve as an advisory body to the "collection development officer."

(13) Additional support staff, reporting to the "collection development officer" may be needed to perform checking of bibliographies supplied to them and/or for other activities to carry out collection development functions.

(14) The collection development function will be under the administrative umbrella of the Office of the University Librarian.

(15) All necessary policies, procedures, standards, criteria and priorities to guide collection development for 1983-84 will be established by the fall of 1983; hopefully by the fall of 1984, strategic plans for the University's instructional units will have been completed and used as a basis for establishing the above factors for collection development from 1984-85 through 1986-88).

(16) Beginning in the fall of 1983, the Division of Central Libraries will begin acquiring a limited quantity of audio-visual materials. Total audio-visual items acquired in 1983-84 is not expected to exceed 100. These will be reflected in the public catalog.

Implications of Assumptions Concerning the Future on an Organization of Technical Services Operations

Increased Volume of Work. Figure XII, included in item number one of the assumptions, indicates that for each of the next three years there will be an average increase of 1,387 monographic titles and 330 serials titles for those libraries served by the Division of Technical Services. Figure XII also shows that, beginning in 1986 and continuing through 1993, the average of new

monographic titles received per year (over 1981-82 levels) will be 9,505 titles while the average of new serials titles received per year will be 1,220.

For the next three-year period, the projected increase in new monographic titles would constitute a 12% increase over 1981-82 levels (based on the figure for the Cataloging Department of 12,058 titles in 1981-32). For new serials titles, the projected three-year average increase of 330 titles would mean a 79% increase over the 417 titles processed by the Cataloging Department in 1981-82. The average annual acquisition rate for monographic titles beginning in 1986 would be a 78% increase over the level for 1981-82; for new serials titles, during that same period, the percentage increase over 1981-82 would be 429%.

The same figures for increases in serials titles, if applied to the current subscriptions now processed by the Serials Department (4,000), would mean an increase in subscriptions of 8.28% during the next three years; beginning in 1986, this would amount to an increase for each year of 45%.

The substantial increases in new titles projected over the next ten years, obviously, has different implications for the three departments constituting the Technical Services Division. The single implication for all three of the departments, however, is that processes must be organized in a manner that will achieve maximum speed in the flow of work while keeping personnel costs as low as possible. For the Acquisitions Department, because the organization of that unit already achieves maximum efficiency, the substantial increases in titles ordered will undoubtedly mean additional personnel. For the Cataloging Department, the projected increases in new titles will mean radical restructuring to achieve greater control (and the resulting ability to closely measure productivity), maximum utilization of support staff for as many activities as possible, concentration of professionals only in critical activities, workflow processes that will ensure the expeditious flow of cards to the catalog and books to the shelves.

For the Serials Department, the projected increase in new titles has serious implications. Restructuring at every level will be necessary to equip the Serials Department to deal effectively with the increase in volume of work. The serials processes now carried out by Acquisitions, Cataloging and Current Periodicals must, of necessity, be considered as parts of a unified function and workflow must be clearly mapped, monitored and controlled to reflect such unity. Moreover, the present, fragmented serials control system must be replaced soon with a comprehensive system that can meet increased volume of work effectively.

New Responsibilities. The Planning Assumptions indicate that two new areas of responsibility will be immediately delegated to technical services staff. The Head of Acquisitions will become the chief Collection Development Officer for the library system (in addition to his role as Head of the Acquisitions Department). The Cataloging Department will assume total responsibility for maintaining the bibliographic records in the DataPhase database.

Although the collection development function will be organized as an administrative unit of the Office of the University Librarian, it must closely interface with the Division of Technical Services because the chief Collection Development Officer will also function as Head of the Acquisitions Department and because bibliographic activities for collection development will be performed in close conjunction with technical services operations in the Acquisitions Department.

The imminent application of the Collection Development Policy as a means of measuring quality and designating levels of density and intensity, as well as setting priorities for collection building in specified subject disciplines, requires that machinery be set in place as soon as possible to operate under that policy. Moreover, the likelihood of substantial increases in funding for books and periodicals within the next three years indicates a need to begin

preparations now to ensure that the library will be ready to begin intensive purchasing of materials once funds are made available. Thus, the Collection Development Officer will need to begin within the next year to identify those factors in the University's instructional program that will serve as a basis for establishing highest-level intensity for the expansion of given subject collections; once that is accomplished, suitable bibliographies will need to be identified and checking begun to allow for building-up a sizeable desiderata file to have in readiness. To carry out such activities will require the forming of a suitable group of subject specialists, from within the library, and the creation of a bibliographic searcher to provide staff support. Prompt arrangements must also be made by the Cataloging Department to assume its new responsibilities for total maintenance of the DataPhase database.

For the Cataloging Department to assume total responsibility for maintaining the (DataPhase) database, now composing the libraries' circulation system, only a modest expansion of effort will be needed. That is because the department already carries out significant activities in this regard including: transfer of OCLC records for unconverted monographs that have circulated, entering of newly cataloged items, labeling monographic items, and corrections to database records, as needed. Thus, the major activities that will be added to those already performed by Cataloging will be administration and planning related to developing the database; in addition, the Cataloging Department will continue enhancement activities for the database, including the replacement of KULS non-MARC records for serials with OCLC records, as well as all necessary batch-error processing.

Although there will need to be only a modest expansion of activities by the Cataloging Department to assure total responsibility for the maintenance of the DataPhase database, it is highly important that the significance of the database not be under-estimated. As pointed out in the Planning Assumptions,

the DataPhase database may become an important component of an on-line catalog. It will, therefore, be necessary to place responsibility for the database maintenance under the control of a suitably qualified professional and to allocate time not only for supervision of inputting of records but for study and analysis to determine ways and means of increasing the value of the database to its various user-constituents. Maintaining and enhancing this database may relate directly to another implication of the Planning Assumptions--Preparations for an On-line Catalog.

Preparations for an On-line Catalog. The Planning Assumptions prescribe the following chronology of steps toward an on-line catalog:

1983 -- Request for funds to start-up an on-line catalog to be included in 1983-84 Biennial Budget;

1983-84 -- Configuration of an on-line catalog, and associated sub-systems, to be established;

-- Ways, means and extent of retrospective conversion to be established;

1984-85 -- Detailed planning to be conducted for actual transfer of records from the card catalog to the on-line system;

-- Target dates to be established for loading of records, test period and beginning user interface.

Within the same period (1983-85), determination will be made in regard to computer-based systems for acquisitions and serials functions whether these are sub-systems of an on-line catalog or stand-alone systems.

Although the three technical services departments will need to take into account the early advent of on-line systems in terms of the restructuring of work in a new organization, the manner in which they prepare for such systems will vary according to the department. For the Cataloging Department, the major preparation for an on-line catalog should take the form of provision for the maximum amount of in-house conversion of records that is possible during the period prior to and immediately following the implementation of the catalog

system. To do so will require organizing original and copy cataloging as well as bibliographic maintenance activities in the most efficient manner to provide for expected increases in new materials and simultaneously to allow for records conversion. This will require diverting substantial amounts of time by professional catalogers to the original cataloging process itself; it will also require concentrating all original cataloging activities in a definable unit rather than scattering them as the present organization does. Similar steps will be needed to equip the copy cataloging unit to continue conversion activities. It now appears that serials should be given highest priority for conversion because of the high level of use of that form and because of the desirability of having all serials titles on-line with complete holdings by the time a computer-based catalog is put into operation. This is of particular importance because serials were not included in the conversion project carried out during the past several years, thus only around 50% of them have been converted.

Implications for the Serials Department of the introduction of a total on-line system by 1984-85 have to do with the extent of efforts that should reasonably be put into a major overhaul of the existing manual-automated system. In that regard, priority must immediately be placed on improving both quality of record and speed in making it available to users as this applies to the Master-file, to the print-outs used by the public and to the Circulation database.

For the Acquisitions Department, it appears that no special preparations will be needed for introduction of a new acquisitions system because, unlike Cataloging, the Acquisitions files are temporary in nature, thus allowing for the creation of a new database composed only of those orders that have active status at the time a new system is introduced.

Structural and Workflow Requirements for a New Organization of Technical Services

Having established, in the section above, those requirements for technical services organization that relate to future demands, it is now necessary to determine requirements that a new organization must meet in terms of structure and workflow. Requirements for structure and workflow will be derived both from conclusions reached in Part II of this Report (evaluation of the existing conditions) as well as from those reached in regard to assumptions for the future (immediately preceding).

Structural and workflow requirements for a new organization for the Division of Technical Services are as follows:

Structural

The organization and structure must ensure that:

--- closely associated and inter-related functions and activities are organized into appropriate units;

--- control over each function and ability to measure productivity is clearly established;

--- the level of personnel assigned to a given activity or task is consistent with the level of work to be performed;

--- adequate provision is made for flexibility to facilitate change required by future developments;

--- in-house conversion of records to machine-readable form will proceed to the maximum extent possible;

--- adequate attention will be given to maintenance and enhancement of existing databases and planning for future ones;

--- the nature and extent of policy-making by unit heads is clearly defined;

--- clear distinctions are made between the roles of advisory bodies and that of administrators charged with responsibilities for given functions.

Workflow

The workflow must be charted to ascertain that:

--- to the maximum extent possible, a given process may be completed within the unit that has primary responsibility for that process;

--- the movement of a process along the workflow chain allows for the establishment of appropriate authority and verification work in proper sequence;

--- the time-lag between the creation of a record and the availability of that record to a user-constituency is minimal.

A New Organization for the Division of Technical Services

Conclusions drawn earlier in this study indicate that the existing organization of the Division of Technical Services into Acquisitions, Cataloging and Serials Departments is a viable organization for now and for the immediate future. In order to correct certain major deficiencies in the present organization and to meet future needs, however, there must be some modifications made to the over-all role and scope of the Acquisitions Department and the Serials Department; in addition, there must be some substantive changes in the internal organization of both the Cataloging Department and the Serials Department. Moreover, a scheme must be prepared for a collection development component, even though that component will function as an entity separate from the administrative body of the Division of Technical Services. Those issues will be addressed in this section of the Report.

The description of the proposed new organization for the Division of Technical Services will be divided into the following parts: (1) the Divisional Office, (2) Collection Development, (3) Acquisitions Department, (4) Cataloging Department, (5) Serials Department.

Divisional Office. The Office of the Division of Technical Services should be composed of the Director of the Division, an "Assistant for Systems Study," an Administrative Secretary and a clerk-typist. The Director will be responsible for over-all planning and policy-making for the Division as well as for general administration, including personnel, monitoring of the personnel and systems budgets (shared with OPAS); planning for and implementing of on-line bibliographic databases will constitute a basic responsibility of the Director.

In addition, the Director will be the official liaison with the Technical Services Division of the Health Sciences Library in matters affecting routine operations that require coordination between the two units; in this regard, the Director will perform within policies established by the University Librarian in consultation with the Director of the Health Sciences Library. Further, the Director will interact with the Director, Office of Planning and Administrative Services, and the Director, Division of Central Libraries, in regard to long-range planning, budget preparation, administrative services and in regard to interface with public services units of the Division of Central Libraries. The Director will be a member of the University Librarian's Administrative Advisory Council. The University Librarian may, if she so-elects, designate the Director as her representative to various local, state and regional bodies having to do with development of on-line networks or other matters pertaining to technical services.

The "Assistant for Systems Study" position may initially be one-half-time; this position will also serve as Cataloger, Bibliographic Control in the Cataloging Department. Sometime in the future, this position may become full-time as "Assistant for Systems Study" (thus creating a need for a separate position as Cataloger, Bibiliographic Control). [See Addendum I for detailed description.]

The Administrative Secretary will maintain records of vacation, sick-leave, personal leave, etc., for faculty and staff of the Division, in addition to being responsible for monitoring hours worked by all student assistants employed by the Division. The Administrative Secretary will also be responsible for coordinating the hiring of student assistants. Administration of the payroll for the Division will also be a responsibility of this position, including liaison with the Office of Personnel & Planning in matters pertaining to payroll. Policies and procedures affecting the Division as a whole will be maintained by the Administrative Secretary. All reporting to OPAS of building problems,

including problems with equipment, as well as security problems will be vested in this position. The Administrative Secretary will also be responsible for controlling keys, including forwarding key requests for OPAS. The Administrative Secretary will also see to the routing of mail, distributing of official memoranda for the Division and requisitioning supplies. The secretary will keep OPAS informed of the schedule of hours for the Division as this affects air supply, lighting, early arrivals and late departures of staff. The secretary will perform secretarial duties for the Director as instructed.

The clerk-typist position will perform typing of correspondence, reports, etc., for the Department Heads of the Division, in addition to providing general clerical and secretarial support to the Director, as needed. The clerk-typist will report to the Administrative Secretary.

FIGURE XIII: ORGANIZATION OF THE DIVISIONAL OFFICE, DIVISION OF TECHNICAL SERVICES

Collection Development. The Collection Development function will be headed by the present Head of the Acquisitions Department, who will spend approximately 60% of his time in collection development activities and approximately 40% in administering the Acquisitions Department. The title of this position will be

"Collection Development Officer." The Collection Development Officer will report directly to the University Librarian.

The general responsibilities of the Collection Development Officer will include, but will not be limited to, the following: recommending, preparing and monitoring budgets for collection development; recommending policy for collection development; planning and carrying-out programs and services of collection development policy; identifying materials needed in developing the collections; soliciting and coordinating subject knowledge of service unit personnel in collection development; recommending policies and identifying materials that require preservation decisions; assisting Reference units in preparation of bibliographies and instructional aids for faculty and students; maintaining close relationships with the faculty, researchers and students in planning resource development.

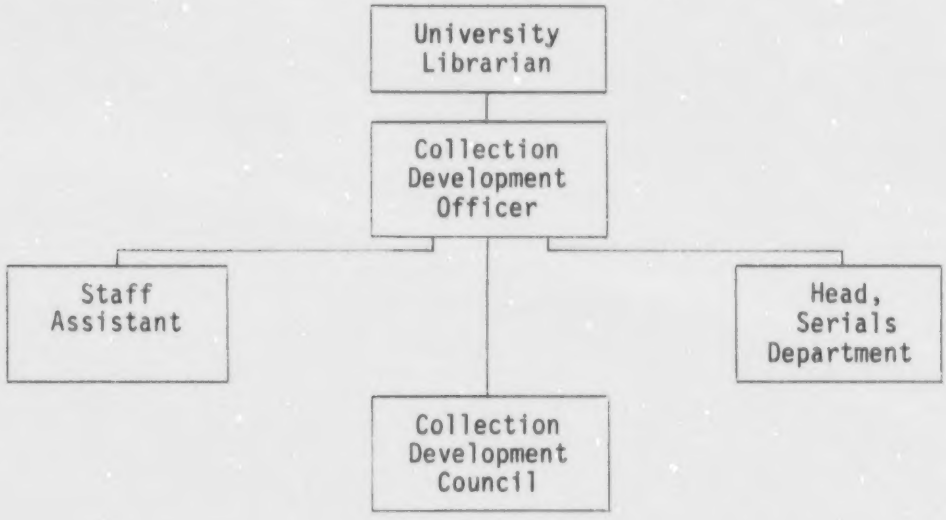
The Collection Development Officer will be aided in his work by the Head, Serials Department, Division of Technical Services and by a higher-level staff assistant. The Head, Serials Department will assist the Collection Development Officer in all aspects of collection development relating to serials, including: preparation and monitoring of budgets for serials; formulating policy for building serials collections; identifying materials needed in developing serials collections; recommending policies and identifying materials that require preservation decisions; preparation of bibliographies of serials for faculty and student use.

The staff assistant (title to be determined) will provide, on a para-professional level, assistance to the Collection Development Officer by supervising staff and student workers who perform checking of designated bibliographies, by serving as liaison with members of the Collection Development Council, compiling data for use in collection development and carrying out

special assignments related to collection development as needed. The "Staff Assistant" will report directly to the Collection Development Officer.

The professional bibliographic functions related to collection development will be performed by the heads of the Professional School Libraries (or their designees) and designated members of the faculty and staff of the Division of Central Libraries. Collectively, these bibliographers will form a Council to advise the Collection Development Officer. Recommendations made by the Council, in conjunction with the Collection Development Officer, will be submitted to the University Librarian for her approval. The Collection Development Officer and the Council will work in close association with the University Librarian in planning and policy-making for all aspects of collection development. Figure XIV shows the organization of the Collection Development function.

FIGURE XIV: ORGANIZATION OF THE COLLECTION DEVELOPMENT FUNCTION



Acquisitions Department. The internal structure of the Acquisitions Department will be continued in its present configuration, as shown in Figure IV.

Cataloging Department. The Cataloging Department will be reorganized into three units (from its present seven "sections," as follows: Professional Cataloging & Pre-Cataloging (one unit); Copy Cataloging; Bibliographic Control. The head of the Professional Cataloging & Pre-Cataloging unit will have the title "Principal Cataloger"; the head of the Copy Cataloging unit will have the title "Supervisor, Copy Cataloging"; the head of the Bibliographic Control unit will have the title "Cataloger, Bibliographic Control." Each of the three unit heads will report to the Head, Cataloging Department. The Principal Cataloger and Cataloger, Bibliographic Control will be professional librarians; the Supervisor, Copy Cataloging will be a higher-level support staff or professional and administrative staff member.

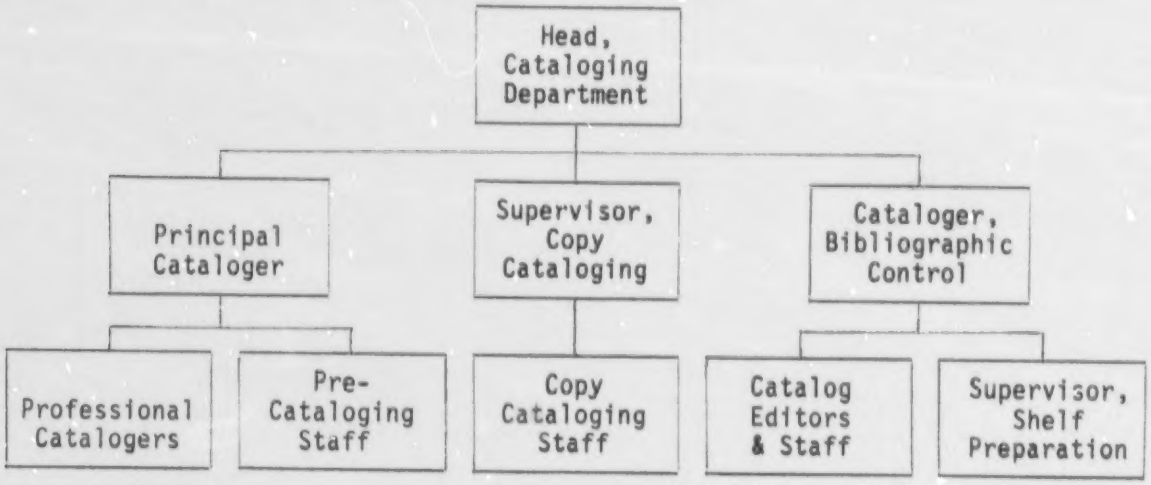
Reporting to the Principal Cataloger will be three professional catalogers and 1.5 support staff members. The Principal Cataloger will spend one-half of his/her time in administrative responsibilities and one-half performing professional cataloging.

Reporting to the Supervisor, Copy Cataloging will be six copy catalogers, divided according to Copy I's and Copy II's. The Supervisor, Copy Cataloging will spend approximately one-half of his/her time in solution of suitable copy cataloging problems, assigning work and revision of work; the other half of his/her time will be spent in copy cataloging itself.

Reporting to the Cataloger, Bibliographic Control will be 9.5 staff members, including editors, staff assistants and the Supervisor of Shelf Preparation. The Cataloger, Bibliographic Control will spend one-half of his/her time administering the Bibliographic Control unit and one-half as Assistant for Systems Study in the Divisional Office (Division of Technical Services).

Figure XV shows the new organization of the Cataloging Department and major tasks for each structural unit.

FIGURE XV: NEW ORGANIZATION FOR THE CATALOGING DEPARTMENT AND MAJOR TASKS PERFORMED BY EACH UNIT



Major Tasks of Each Unit	Level*
Head, Cataloging Department	
-Administration of the Department	P
-Planning	P
-Policy-making	P
-Coordination of cataloging functions	P
-Liaison with other departments	P
Professional Cataloging/Pre-Cataloging Unit	
-Establishes standards for all cataloging (in conjunction with the Department Head)	P
-Performs professional aspects of reclass and conversion	P
-Original cataloging of monographs	P
-Edits non-LC copy cataloging as needed	P
-Assigns subject headings to theses	P
-Prepares name authority cards and series authority slips	P
-Oversees error reports for OCLC records	P
-Solves bibliographic problems	P
-Sorts materials received from Acquisitions into categories	S
-Searches for appropriate copy on OCLC database	S
-Routes materials to appropriate sections for processing	S
-Prepares books for OCLC search	S
-Maintains cataloging backlog	S
-Locates items in-process	S
-Makes bindery decisions	S
-Records and analyzes statistics	P/S
-Searches NUCs for copy not found on OCLC	S

(Continued, p. 71)

Copy Cataloging Unit	Level*
-LC copy cataloging	S
-Edits non-LC copy cataloging	S
-Corrects non-LC copy cataloging on OCLC	S
-Inputs new monographic records	S
-Corrects machine-readable records	S
-Transfers records to DataPhase	S
-Added copy cataloging	S
-Book continuation cataloging	S
-Performs para-professional aspects of reclass and conversion	S
-Revises OCLC cards	S
-Reports temporary terminal problems to OCLC	S
-Maintains terminal logs	S
-Records and analyzes statistics	S
Bibliographic Control Unit	
-Resolves name, subject heading, and classification problems	P
-Sorts cards	S
-Routes cards, correction slips to branch/professional libraries	S
-Files cards in public catalogs and various internal files	S
-Revises filing	S
-Makes corrections on manual and machine-readable records for any changes made, including transfers and withdrawals of monographs	S
-Makes authority cards, and cross-reference and guide cards	S
-Responsible for DataPhase maintenance	P/S
-Records and analyzes statistics	S
-Labels materials going into collections (spine, OCR, cover labels, date dues, gift plates, location stamps, etc.)	S
-Installs security strips	S
-Matches in-process slips with items and cards	S
-Sorts and routes processed items	S

*P designates work done by professionals.

*S in most cases designates classified staff. Some of these tasks may be done by students supervised by classified staff.

Benefits of New Organization. The proposed organization for the Cataloging Department is intended to correct the weaknesses found, earlier in this Report, in the existing structure as well as to equip the department to meet the demands anticipated in the future. Reducing the number of separate units, found in the existing organization, allows for a logical grouping of closely-associated and inter-related processes and makes possible the completion of given processes (and/or stages of processes) before they move on to another unit. Moreover, the reduction in processing units releases some professional cataloging time

from administrative responsibilities and redirects it to the professional cataloging process itself. The grouping of processes in the three major units based on closely associated activities and tasks also makes possible much greater control over the processes, thus expediting the application of standards and the measurement of productivity. The benefits afforded by each of the three units will be discussed next.

Professional Cataloging/Pre-Cataloging. The creation of the new unit for professional cataloging and pre-cataloging makes possible the concentration of all aspects of professional cataloging of monographs and related pre-cataloging processes in a single unit. (Serials Cataloging would become a part of the newly-structured Serials Department.) Not only original cataloging of new titles would be performed here but the professional cataloging aspects of reclassification and conversion of records, as well. It is intended that professional catalogers in this unit will also resolve problems that are referred to them from the Copy Cataloging unit.

The operations of this unit make the Principal Cataloger responsible for monitoring cataloging standards and maintaining a record of local cataloging policies. The Principal Cataloger will, in close conjunction with the Department Head, establish standards to be observed in the total cataloging process. Thus, it will be possible for the Principal Cataloger to implement and monitor policies and procedures for both professional cataloging and pre-cataloging and thereby achieve a highly efficient flow of work from Pre-Cataloging to Original Cataloging and to Copy Cataloging.

This arrangement initially makes available three full-time and one half-time professional catalogers, thus allowing for necessary original cataloging and authority work in addition to expected progress in a continuing program of conversion of records. (Similar benefits are anticipated in Serials Cataloging;

these will be discussed later in this Report in the section on the Serials Department.)

Under this plan, the Department Head, in conjunction with the Principal Cataloger, will assign specific responsibilities and detailed guidelines to professional catalogers for copy cataloging problems and conversion of records. He/she will also make assignments based on subject knowledge and language ability. It is of particular importance to the success of this unit that the volume of problems referred to it from the Copy Cataloging unit be rigorously controlled. As will be pointed out subsequently in this Report, copy catalogers will assume major responsibility for processing the OCLC member-input records. Policies allowing the copy catalogers discrimination in making judgments concerning member-library input that will be acceptable must be clearly established; this will limit the volume of problems that will be necessary for referral to the professional catalogers. Only in this way can the professional catalogers have adequate time to catalog new titles and still make progress in reclassification and conversion of records.

Copy Cataloging. The Copy Cataloging unit is intended to carry out all cataloging activities that may be suitably performed by higher-level support staff. The scope of this activity, as shown in Figure XV, includes cataloging from matching L.C. copy as well as cataloging from OCLC member-input libraries' copy. The scope of this unit further includes selected tasks related to reclassification and conversion of records as well as the traditional tasks of inputting new monographic records, correcting machine-readable records, transfers to DataPhase, added copy cataloging and book continuations.

Entrusting major responsibility for copy cataloging of member-input cataloging to higher-level support staff constitutes substantial departure from past practice in the Cataloging Department. Since the library's beginning in

SOLINET eight years ago, so-called L.C. catalogers have had authority to process materials only in those instances where there was a "perfect" match between L.C. cataloging copy and the book at hand. Professional catalogers handled all books with member-input cataloging and L.C. cataloging for a different edition, making necessary editorial changes before returning them to L.C. catalogers for creating the archival record and ordering cards. The Cataloging Department has recently conducted an "experiment," to determine the extent to which higher-level support staff may be able to perform copy cataloging work. Based on that "experiment" and on other considerations, opinion in the department varies as to the extent to which support staff may reasonably be entrusted to make determinations as to what record may be of adequate quality to accept as a permanent record for creating the library's database. Some are of the opinion that copy catalogers may select the "best" record, in their estimation, and refer all of their recommendations, with editorial changes, to professional catalogers for verification and revision. Others believe that with detailed guidelines and with the prior designation of member libraries whose cataloging may be accepted with little or no change, the copy catalogers may make determinations on their own in the majority of cases and process books directly without channeling all work to professional catalogers; under this arrangement, prior guidelines would make known to copy catalogers the categories of problems that should be referred to a professional cataloger for resolution. Although the author of this Report respects the opinion of the proponents of the former arrangement (revision of all copy cataloging work by professional catalogers), he believes the latter arrangement should be adopted as an on-going policy with, however, the following conditions: (1) a list of preferred member-libraries should be compiled that will serve as an indication to copy catalogers of the cataloging records which they may accept; (2) detailed guidelines are formulated for copy catalogers to

acquaint them with specific categories of problems which must be referred to professional catalogers for resolution; (3) detailed guidelines and instructions are formulated for professional catalogers to make them aware of the extent to which they should go in editing the member-input record; (4) a suitable training period is established for incumbent staff before instituting the policy; (5) new Copy Cataloging staff members are given adequate training before they assume full responsibility for carrying out this policy; (6) the Principal Cataloger, in conjunction with the Department Head, monitors the quality of the cataloging of the list of preferred libraries and makes deletions and additions to the list as necessary.

Another departure from past practice in this organization of copy cataloging is the designation of a higher-level support staff member as the Supervisor of the Copy Cataloging unit. The existing L.C. Cataloging section is headed by a professional cataloger to whom each staff member reports directly. It is believed, however, that by limiting the copy cataloging activity only to those tasks shown in Figure XV, it will be possible for a higher-level member of the support staff to carry out the administrative responsibilities for the unit and spend at least one-half of his/her time in the performance of copy cataloging itself. Moreover, policies, procedures and workflow will be structured in such a way that the Supervisor of this unit will interface with both the Head of the Department and the Principal Cataloger on a routine basis. The Department Head will be responsible for making available to Copy Cataloging policies and procedures and the list of preferred libraries as well as for exercising oversight of the assignment of work. The Principal Cataloger, in conjunction with the Department Head, will establish local standards for original and copy cataloging based on national standards and local library needs.

In making this recommendation for the structuring of copy cataloging activity, the author of this Report recognizes that the level of responsibility

for copy catalogers will need to be raised both in form and substance. It will, therefore, become necessary to reassess the status of staff members who will be designated for higher-level work and to pursue ways and means to provide realistic classifications and compensation for them in the University's personnel organization.

Bibliographic Control Unit. The Bibliographic Control unit will be headed by a professional librarian with the title "Cataloger, Bibliographic Control." The unit will be composed of two major activities: catalog maintenance, including DataPhase database maintenance, and shelf preparation. The staff assigned to Catalog Maintenance will be designated as "Catalog Editors and Staff." Each Editor will report directly to the Cataloger, Bibliographic Control. Staff and student workers may be assigned to individual editors. The head of the Shelf Preparation unit will have the title "Supervisor, Shelf Preparation" and will report to the Cataloger, Bibliographic Control. The Cataloger, Bibliographic Control will spend approximately one-half of the time administering this unit; one-half of the time will be spent as Assistant for Systems Study in the Divisional Office (see the section of this Report on "Divisional Office" for a brief description of the Assistant for Systems Study position).

The Bibliographic Control unit includes responsibilities for both manual catalogs and machine-readable cataloging databases; furthermore, it includes the shelf-preparation processes. This is a logical and efficient arrangement because both manual and machine-readable records must be coordinated and integrated. As Shelf Preparation is responsible for a major part of item maintenance in the DataPhase database, it appears logical to make the Shelf Preparation unit a part of Bibliographic Control rather than to have it reporting directly to the Head of Cataloging, as at present.

It is intended that the maintenance of all catalog databases will be carried out by the Bibliographic Control unit. This arrangement applies to

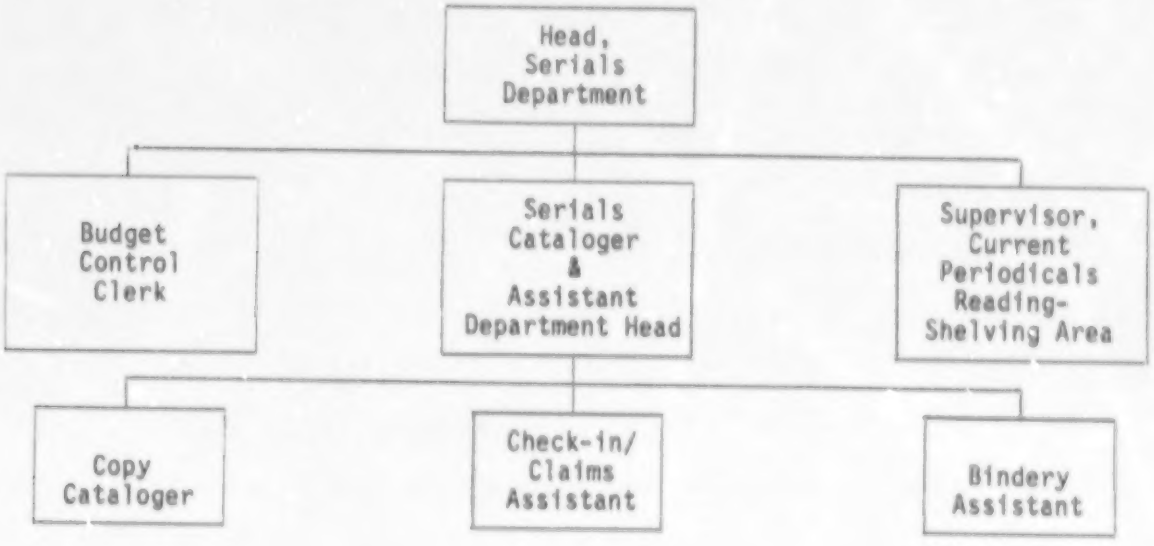
databases that are currently in existence as well as those which may develop in the future. (Serials Cataloging, although separated from the Cataloging Department, will also be included in the database maintenance activities of the Bibliographic Control unit.) It appears desirable to centralize database maintenance, and other activities included in Bibliographic Control, to ensure the uniformity and completeness of records that become a part of the database. It is also expected that greater speed can be achieved in making records available to user groups by centralizing the bibliographic control processes.

It is believed, moreover, that establishing a clearly-defined Bibliographic Control unit, responsible for all cataloging databases, will provide a flexible vehicle for the future when all manual files will be replaced by machine-readable ones. In this manner, whatever the form machine-readable databases take, close control may be maintained over standards, policies and procedures having to do with integrity of records.

Serials Department

The Serials Department will be headed by a professional librarian. Reporting to the Department Head will be the Serials Cataloger, the Budget Control Clerk, and the Supervisor of the Current Periodicals reading-shelving area. Reporting to the Serials Cataloger, who will also serve as the Assistant Department Head, will be the Copy Cataloger, Check-in/Claims Assistant, and Bindery Assistant. Under this structure, the major change from current operations is expanding the scope of the department to include the serials cataloging processes (now in the Cataloging Department) and the Current Periodicals reading-shelving area (now in the Reference Department, Division of Central Libraries). The organizational chart and listing of principal tasks for the Serials Department is shown in Figure XVI.

FIGURE XVI: NEW ORGANIZATION FOR THE SERIALS DEPARTMENT AND MAJOR TASKS PERFORMED BY EACH UNIT



Major Tasks

Department Head

-Administration of the Department
-Establish policies and procedures
-Administer Serials budget
-Perform Collection Development responsibility in conjunction with Collection Development Officer
-Prepare job descriptions for personnel in Department
-Prepare reports

Serials Cataloger and Assistant Department Head

-Perform professional cataloging, authority work and conversion of records
-Administer and supervise Copy Cataloging activities
-Administer and supervise Check-in/Claiming activities
-Administer and supervise bindery activities
-Administer and supervise Department in absence of Department Head
-Maintain serials and cataloging statistics

Budget Control Clerk

-Approve invoices for payment
-Maintain cost record of budget expenditures
-Maintain on-order file
-Compile statistics for collection development and for other purposes

(Continued, p. 79)

Current Periodicals Reading-Shelving Area Supervisor

-Supervise operation of the Current Periodicals Reading-Shelving Area
-Prepare completed volumes of journals for Bindery Assistant
-Maintain reading room and journal use statistics
-Assist public in locating Current Periodicals
-Supervise student assistants assigned to the unit
-Report missing issues of journals to Check-in/Claims Assistant
-Maintain file of missing issues of journals
-Accept requests from public for new journal subscriptions

Copy Cataloger

-LC copy cataloging
-Edit some non-LC copy cataloging
-Correct some non-LC copy cataloging on OCLC
-Input new serials records
-Correct machine-readable records
-Transfer records to DataPhase
-Added volume cataloging
-Perform para-professional aspects of reclassification and conversion
-Revise OCLC cards
-Report temporary OCLC terminal problems to Cataloging Department
-Maintain OCLC terminal logs
-Add new bound holdings to holdings file
-Maintain Serials Records File
-Prepare serials datasheets for Masterfile
-Perform pre-order searching
-Perform pre-cataloging searching

Check-In/Claims Assistant

-Check-in current issues of serials
-Initiate claims for missing issues
-Carry out correspondence related to claims

Bindery Assistant

-Process outgoing and incoming bindery shipments
-Prepare University of Louisville dissertations for microfilming
-Supervise mending of journals and books
-Supervise exchange work

Benefits of New Organization. The proposed organization of the Serials Department, shown in Figure XVI, attempts to correct the weaknesses of the present organization and to provide an effective means of meeting future demands. Both issues have been explored in earlier parts of this Report.

Adding to the Serials Department the cataloging component and the current periodicals activity, along with provision for the necessary level of collection development work, transforms the department into a comprehensive serials unit in which processes that are closely-associated and inter-related are performed in a highly centralized manner. This arrangement should go far in correcting the present fragmented and truncated organization in which multiple, inter-dependent serials processes are carried out in at least four separate departments. It must be pointed out, however, that the author of this Report and the three technical services department heads studied, in considerable detail, the benefits and consequences of a completely decentralized structure for serials before concluding that the centralized structure was preferable in the particular circumstances in which serials and serials records now exist in this library setting. The benefits to be derived from the internal structuring of the newly-constituted Serials Department will be described below.

Department Head. Under the arrangement proposed for the Serials Department, the Head of the Department will be freed of the many clerical tasks which he must now personally perform. This will make it possible for him to engage in meaningful planning to ensure the success of the new organization, to address major improvements in the present limited system of automation (if this is called for) and to pursue in-depth study of total automated systems for serials processing in the event that funding becomes available for purchasing a system in the foreseeable future. Another benefit of the proposed organization to the position of Department Head will be the time allowed for administrative aspects of formulating and implementing policy related to collection development and preservation activities for serials. As has been pointed out earlier in this Report, there is an almost total lack of fundamental policy governing binding and other means of preservation, conversion to microform, purchasing on microform, etc., to say nothing of a similar absence of policy for the selection of

new serials titles including surveys of user needs. Being freed from responsibility for clerical detail will allow the Department Head to vigorously pursue such issues in conjunction with the Collection Development Officer.

Serials Cataloging. Including serials cataloging as a part of the Serials Department will make possible a logical sequence of processing activities in the workflow for serials, an arrangement that would be extremely cumbersome to achieve under the present organization with serials cataloging in the Cataloging Department. This will allow for the establishment of a cataloging record as a part of the initial workflow chain, thus making it possible to use that record to fill out the computer worksheets which form the basis for the Serials Masterfile and other important holdings lists. Making serials cataloging an integral part of the Serials Department will also bring about closer control over quality and standards of cataloging and classification while expediting the movement of materials through the cataloging process.

Because the checking-in of current issues forms the basis for holdings records that appear in the Serials Record File as well as in the Masterfile and KULS file, this process appears logical to be placed under the supervision of the Serials Cataloger. Although there may be less reason, than for check-in and claiming, to place bindery processes under the supervision of the Serials Cataloger, the need for recording bound volumes in the cataloging holdings file (Serials Record File) does form a logical connection. In addition, it may be possible for the Serials Cataloger to make bindery decisions regarding many items prior to cataloging them.

The separation of Serials Cataloging from the Cataloging Department will, however, necessitate a close communication between the Cataloging Department and the Serials Department.

Current Periodicals. Making the Current Periodicals unit a part of the Serials Department will achieve benefits similar in nature to those resulting

from the assimilation of Serials Cataloging. Thus, the final process in a crucial part of the workflow--that of making materials and records available to the public--will now be a part of a single, comprehensive unit instead of being in another division of the library. Moreover, the resumption of the workflow, when issues of current periodicals are cumulated for binding and are again received in bound form, reinforces the workflow benefits of this arrangement. Thus, such tasks as the following may be more properly addressed by a Current Periodicals unit that is a part of the Serials Department: holding unbound issues for replacement of missing issues; claiming and/or purchasing missing issues; maintaining files of missing issues, etc.

The critical importance of serials records to the successful operation of the Current Periodicals unit and its interface with the public is also a compelling reason for making the Current Periodicals unit a part of the Serials Department rather than retaining its present status as a segment of the Reference Department.

It is anticipated that direct contact with the library's users by the Serials Department will result in needs being identified that will serve as a basis for enhancement of public-use records and for improvements in policies and procedures for the movement of current periodicals.

Budget Control. Establishing budget control as a separate unit within the Serials Department is expected to improve efficiency as well as to speed-up the process of checking invoices and approving invoices for payment. The staff member responsible for this process is also expected to be able to study possible improvements, in conjunction with the Department Head, to the current system, including the possibility of utilizing the Gaylord System in the Acquisitions Department for certain aspects of records enhancement, reporting of new subscriptions to user groups, etc.

Personnel Needs and Levels of Productivity

The reorganization of activities within the departments of the Division of Technical Services will require a reassignment of personnel in those departments to the newly-created units. Those reassignments will create a new mix of professionals and support staff, particularly in the Cataloging Department, because of changes in the concept of various tasks and the manner in which they are performed brought about by the new organization. Those conceptual changes also result in the need for some additional support staff positions while reducing, somewhat, the number of professional positions. Moreover, the new organization may be expected to achieve improvement in the level of production of the Division, although this must be related to projected increases in new materials that will be processed by the Division as well as to the further development of on-line capabilities. Each of those factors will be discussed below.

Reassignment of Professional and Support Staff Positions Based on the New Organization

Figure XVII shows the numbers of professional and support staff positions assigned to existing activities within each of the departments as they are currently organized; it also shows total professional and support staff positions that will be needed for the various activities as they appear in the new organization and the resulting increase or decrease in positions. Column A in Figure XVII lists activities (units) within the departments as they are identified in the new organization; the footnotes to that Figure designate the existing activities or units that will be subsumed into the new units or activities and the numbers of positions that accompany them. Column D in Figure XVII indicates the increases or decreases in positions resulting from the new organization while the "Total" column at the base of this Figure shows total numbers of professional and support staff positions now utilized by the Division, the

FIGURE XVII: NUMBERS OF PROFESSIONAL AND STAFF PERSONNEL ASSIGNED TO SPECIFIC ACTIVITIES IN THE EXISTING ORGANIZATION OF TECHNICAL SERVICES DEPARTMENTS COMPARED TO THAT NEEDED FOR THE NEW ORGANIZATION

A	B		C		D	
UNIT AND ACTIVITY	PERSONNEL UTILIZED IN EXISTING ORGANIZATION		PERSONNEL NEEDED FOR NEW ORGANIZATION		NEW POSITIONS*	
	Prof.	Staff	Prof.	Staff	Prof.	Staff
Divisional Office:						
Systems Study			.5			
Secretarial Support	NA	-0-	NA	2.0		+2.0
Acquisitions Department:						
Administration	.5	NA	.5	NA		
Collection Development	.5	.7	.5	1.5		
Ordering	NA	1.0	NA	1.0		
Receiving	NA	1.0	NA	1.0		
Gifts	NA	.5	NA	.5		
Bookkeeping	NA	1.0	NA	1.0		
Cataloging Department:						
Administration	1.3	.75	1.0	-0-		
Professional Cat./Pre-Cat.[1]	3.85	3.25	4.0	1.5	-1	+ .5
Copy Cataloging[2]	.70	4.0	-0-	7.0		+1.0
Bibliographic Control[3]	1.0	8.65	.5	9.5		+1.5
Serials Department:						
Administration	.65	-0-	1.0	NA		
Serials Control	NA	.80	NA	1.0		
Check-in/Claims	NA	1.2	-0-	1.5		+ .5
Serials Cataloging[4]	1.5	2.0	1.0	2.0		
Bindery Processes	NA	1.0	NA	1.5		+ .5
Current Periodicals[5]	NA	1.0	NA	1.0		
TOTAL:	10.0	26.65	9.0	31.5	-1	+6.0

[1] Includes, in existing organization:

Activity	Professionals	Staff
Pre-Cataloging	.85	1.25
Monographic Cataloging	2.0	-0-
Reclassification & Conversion	1.0	2.0
TOTAL:	3.85	3.25

[2] Includes in existing organization L.C. Cataloging Section.

[3] Includes in existing organization:

Activity	Professionals	Staff
Bibliographic Records	1.0	5.5
DataPhase		.65
Shelf Preparation		2.5
TOTAL:	1.0	8.65

*The time for assignments in the existing organization will not, in all instances, be synonymous with those in the new organization. For that reason, the additions and/or reductions shown in Column D cannot be calculated by adding or subtracting figures in Column B to or from Column C.

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[4]Includes in existing organization:

Activity	Professionals	Staff
Serials Cataloging Section	1.0	2.0
Serials Cataloging performed by Head, Pre-Cat. Section	.15	
Preparation of Serials Data Sheets by Head, Serials Dept.	.35	
TOTAL:	1.5	2.0

[5]Includes the Current Periodicals Unit of the Reference Department, Division of Central Libraries.

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total needed for the new organization and the total increases or decreases for the Division brought about by the new organization. The figures shown in Column C of Figure XVII include, for positions needed for the new organization, both reassigned positions and newly-created positions; Column D indicates only numbers of new positions that will be needed and numbers that will be reduced. Because the previous section of this Report ("A New Organization for the Division of Technical Services") describes the rationale for the organization itself, including some individual positions, that rationale will not be repeated here.

Figure XVII indicates that all existing professional and support staff positions in the Division of Technical Services, except one professional position, will be retained and, where necessary, reassigned. The extent of reassignment varies based on the given department. Because Acquisitions' activities are not changed, there will be no reassignments there. There will, however, be some reassignment from within the Division to allow for the one new position in Collection Development; this also applies to the one-half time position in "Systems Study" in the Divisional Office. In the Cataloging Department, however, there will be considerable reassignment because of the substantive change in organization.

As shown in Figure XVII, the Cataloging Department will be organized into three units: Professional Cataloging/Pre-Cataloging, Copy Cataloging, and Bibliographic Control. Subsumed into the new Professional Cataloging/Pre-

Cataloging unit will be the existing activities or sections of: Pre-Cataloging, Monographic Cataloging, and the Retrospective Conversion Project. Subsumed into the new Copy Cataloging unit will be the existing activities in the L.C. Cataloging section. Becoming a part of the new Bibliographic Control unit will be the existing Bibliographic Records section, the Shelf Preparation section and the DataPhase Database Maintenance Activity. The existing Serials Cataloging section will be transferred to the Serials Department as will the Current Periodicals unit that is presently a part of the Reference Department, Division of Central Libraries. The time now spent in serials cataloging by the Head, Pre-Cataloging section and the time spent in preparation of serials datasheets by the Head, Serials Department will not be retained in the new organization. Many support staff members who are presently assigned to the sections that will be subsumed into the new units are expected to be assigned to the new units, although final decisions in that regard must await the response of the University Librarian to the plan of reorganization. Reassignment of all professionals will also await the response of the University Librarian to the proposed reorganization. Assignments of personnel, both professional and support staff, will be a part of the implementation plan if the reorganization receives the approval of the University Librarian. As Figure XVII shows, however, all existing positions will be retained, except for that of Head, Retrospective Conversion Project; thus all other incumbent professionals and support staff will be continued in the Division. Some new support staff positions, however, will be needed as a result of changes in concept of various activities in the Cataloging Department.

As shown in Figure XVII, the new Professional Cataloging/Pre-Cataloging unit will require an additional one-half time staff position to provide the necessary support to the restructured position that will supervise the pre-cataloging activity; the volume of work in that process is considered too great for a

single support staff member to handle alone. The new Copy Cataloging unit will need at least one additional support staff member to strengthen that unit to carry out its new responsibilities for major parts of member-input cataloging, in addition to the on-going roles in L.C. copy cataloging and retrospective conversion processes. Need for this new position is also based on the change in supervision of this unit from a professional (formerly Head, L.C. Cataloging section) to a higher-level support staff member who will spend approximately one-half of his/her time in supervisory duties. For the new Bibliographic Control unit, as shown in Figure XVII, one new full-time and one new half-time position will be needed to carry out the new responsibilities of this unit for MARC databases as well as for the manual catalogs; the new position will also make available the additional staff support needed to allow the professional head of this unit to carry out his/her administrative role on a one-half time basis.

The equivalent of one full-time position will be needed by the newly-constituted Serials Department to allow for upgrading and expanding the check-in/claims activity and the bindery processes activity. The need for this position also relates to projected increases in new serials subscriptions and to expanded binding of circulating serials.

The projected increases over current levels for the acquisition of both serials and monographs must be met with adequate numbers of staff to carry out technical service processes in a timely and efficient manner. Adequate provision must also be made to allow for continued progress in reclassification and conversion of records.

According to Figure XII, p. 55, between 1984-85 and 1985-86, the average number of new monographs received will be 1,387 titles above the level for 1982-83; for serials titles, Figure XII indicates an average number of new subscriptions above the level for 1982-83 of 330 per year. It is anticipated

that the number of staff shown in Column C of Figure XVII will be adequate to process that volume of work while allowing the Cataloging Department to continue reclassification and conversion at approximately 25,000 items per year. Moreover, it is expected that the Serials Cataloging unit (in the reconstituted Serials Department) can reclassify and convert around 1,800 serials titles per year in addition to routine serials cataloging processes. By 1986-87, however, projected increases in acquisition of new monographic titles and new serials subscriptions are expected to exceed the capability of staffing levels for the previous period.

Beginning around 1986, as shown in Figure XII, p. 55, the supplemental funds for library materials derived from major fund-raising efforts are expected to bring about increases in new titles of monographs averaging 11,022 titles per year; at the same time new serials titles are expected to average 1,967 per year. Those increases over previous levels are likely to require additional staff as depicted in Figure XVIII. That figure shows the total numbers of professionals and support staff needed, by department and activity and the increase or decrease as related to staffing for the prior period of 1983-84 to 1985-86. Thus, there would need to be an increase of the equivalent of two professionals and of seven support staff. Simultaneously, however, it is expected that there will be a reduction of 6.5 existing support staff, resulting, therefore, in a net increase of only one support staff.

It is anticipated that the work generated by the substantial increases in new titles will require the addition of two staff members to carry out ordering and receiving activities in the Acquisitions Department. It is also expected that increased serials subscriptions will require 2.5 additional support staff in the Serials Department to handle check-ins/claims and to process additional copy cataloging for serials. It is also expected that collection development activities, by this time, will have expanded to such an extent that one

FIGURE XVIII: TOTAL PROFESSIONAL AND SUPPORT STAFF PERSONNEL NEEDED BY 1987 AND INCREASE OR DECREASE RELATED TO THE 1986 LEVEL

UNIT AND ACTIVITY	TOTAL PERSONNEL NEEDED		INCREASE OR DECREASE OVER 1987 LEVEL	
	Prof.	Support Staff	Prof.	Support Staff
Divisional Office:				
Systems Study	1.0		+ .5	
Secretarial Support		2.0		
Acquisitions Department:				
Administration	.5			
Collection Development	.5	2.5		+1.0
Ordering		2.0		+1.0
Receiving		2.0		+1.0
Gifts		.5		-0-
Bookkeeping		1.0		-0-
Cataloging Department:				
Administration	1.0		-0-	
Professional Cat./Pre-Cat.	5.0	1.5	+1.0	-0-
Copy Cataloging		9.0		+2.0
Bibliographic Control	1.0	5.5	+ .5	-4.0
Serials Department:				
Administration	1.0			
Serials Control		1.0		
Check-in/Claims		3.0		+1.5
Serials Cataloging	1.0	3.0		+1.0
Bindery Processes		1.5		-0-
Current Periodicals		1.0		-0-
TOTAL:	11.0	40.0	+2.0	+3.5

additional staff member will be needed to provide necessary assistance in checking bibliographies, preparing lists, etc.

By 1987 it is expected that an on-line catalog will have been made operational. Once the on-line catalog is fully implemented and all manual catalogs are closed, at least four staff positions in Bibliographic Control would no longer be needed; this is based on the need for continued minimal maintenance of the manual catalog. Thus, only a full-time professional and three staff members will be needed to maintain the card catalogs and on-line database. For that reason, although the Cataloging Department will need an increase of one half-time professional (to make the head of Bibliographic Control a full-time position) and two more copy catalogers, it will have a net reduction of 1.5 positions. Assuming that all conversion has been completed, that the interactive authority file is in place and the OPAC is functioning reliably, the staff in Bibliographic Control may undergo further reduction by 1988-89.

The projections of staffing needs assume that conversion and reclassification of monographic records will require five to six years to complete. This means that conversion activities will extend at least until 1988 or 1989 (140,000 items ÷ 25,000 per year converted = 5.6 years). For serials titles, however, with approximately five to six thousand items to be converted in 1983, it is expected that all remaining titles will have been converted by 1986 or 1987 (6,000 titles ÷ 1,800 titles per year = 3.3 years).

It is expected that by the time all conversion and reclassification has been completed, additional funding by the University will generate substantial increases in new acquisitions over those projected in Figure XII, thus continuing the need for the existing compliment of staffing in the Technical Services Division at that time; under those conditions, staff members who might no longer be needed for conversion and reclassification processes might be reassigned to other activities within the Division.

SUMMARY

This Report is based on a study of structure, workflow, use of levels of personnel and resulting productivity of departments in the Division of Technical Services, University of Louisville Libraries. The study, divided into three parts, has identified the major weaknesses in the existing operation of the Division of Technical Services, and proposed a new organization that will strengthen the Division and better equip it to deal with future demands.

Purpose of the Study

The purpose of the study was to ascertain whether there were major weaknesses in the structure, workflow, use of levels of personnel, and resulting productivity and if so to recommend a new organization that will correct those weaknesses and equip the Division to better meet the future needs of the library system and its users.

Sources of Data

Detailed flowcharts, organization charts, lists of professional and support staff personnel assigned to specific activities and statistics on productivity for each department in the Division of Technical Services were used for the study. Additional information was obtained from the Department Heads of Acquisitions, Cataloging and Serials and from other professional librarians and support staff in the Division of Technical Services as well as from the Division Head and Department Heads representing the library's public service units.

Summary

Findings have revealed that there were major weaknesses in the internal structuring, workflow, utilization of levels of personnel and resulting productivity in the Cataloging Department and Serials Department, while in the

Acquisitions Department inadequate provision had been made for the function of collection development.

Structure. The existing structure of the Division of Technical Services into the Acquisitions, Cataloging and Serials Departments was determined to be an effective arrangement. The internal structuring of the Cataloging Department into Pre-Cataloging, L.C. Cataloging, Monographic Cataloging, Serials Cataloging, Retrospective Conversion Project, Bibliographic Records and Shelf-Preparation was found to be an ineffective grouping of processes. The definition of the Serials Department to include only Ordering, Check-in/Claiming, Serials Control and Bindery Preparation was found to be too limited to allow for suitable control over the total serials process or to achieve a reasonable level of efficiency. The internal structuring of the Acquisitions Department was found to be effective except that inadequate provision had been made for the process of collection development.

Workflow. It was found that there was excessive scattering of activities composing the various aspects of professional cataloging among the separate units of Pre-Cataloging, L.C. Cataloging, Monographic Cataloging and Retrospective Conversion; similarly, bibliographic control activities were scattered among the separate units of Bibliographic Records, Database Maintenance and Shelf-Preparation. It was further determined that the separation of serials cataloging from other serials processes had resulted in an improper sequence in workflow that contributed to lack of uniformity in records being produced for the Serials Masterfile, in addition to requiring duplicate serials holdings files in the Serials Department.

It was found that professionals were performing some work that could more appropriately be carried out by higher-level support staff in processes related to member-input cataloging, L.C. cataloging, bibliographic control, pre-cataloging and preparation of serials records and bindery processes. It was further

determined that aspects of collection development and management were not adequately provided for in acquisitions and serials processes.

Levels of Productivity. It was found that weaknesses in structure, work-flow and utilization of personnel had adversely affected productivity in various aspects of professional cataloging and in collection development and management aspects of serials publications.

Conclusions

Weaknesses in present operations of the Division of Technical Services, combined with future demands on the Division will require a reorganization of each of its three departments, in addition to provision of a Divisional Office for the Director.

Recommendations

The present organization of the Division of Technical Services into the Acquisitions, Cataloging and Serials Departments remains as a viable means of grouping processes and should be retained.

A Divisional Office, staffed with a professional assistant for systems study and with adequate secretarial help will be needed to provide suitable support for a reorganized Division of Technical Services and for a permanent Director.

Acquisitions Department. A Collection Development component should be established, reporting directly to the University Librarian, made up of a Collection Development Officer and adequate staff assistance. An advisory council composed of appropriate librarians throughout the library system should also be established as a part of this component.

Cataloging Department. The Cataloging Department should be reorganized into three units as follows: Professional Cataloging/Pre-Cataloging; Copy Cataloging; Bibliographic Control. Subsumed into those units should be all

existing processes in the Cataloging Department except Serials Cataloging which will become a part of the Serials Department.

Serials Department. The Serials Department should be expanded to include serials cataloging and current periodicals; the Department Head's responsibilities should be expanded to include administrative aspects of collection development and management for serials.

Personnel. New support staff positions should be added to the Division of Technical Services to suitably carry out the reorganization plan as follows: Divisional Office - 2; Professional Cataloging/Pre-Cataloging - .5; Copy Cataloging - 1; Bibliographic Control - 1.5; Serials Control & Bindery Processes - 1. It is recommended that the professional position of head of Retrospective Conversion be abolished.

Those support staff positions in the Division of Technical Services that will be given higher levels of responsibility as a result of the reorganization plan should be suitably upgraded in classification and payscale.

ADDENDUM I

The text below should follow the second paragraph on page 65.

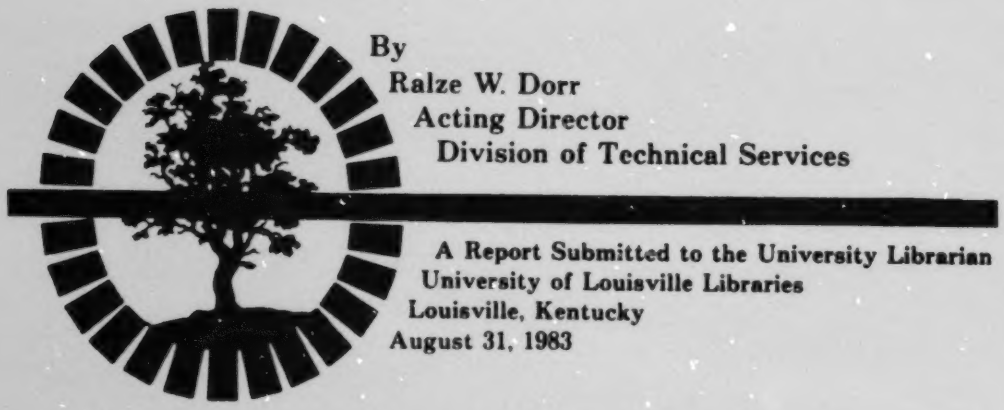
The Assistant for Systems Study will be a member of the staff of the Divisional Office and will report to the Director, Division of Technical Services. He/she will assist the Director in the planning of computer-based systems for the Division of Technical Services by conducting studies, in conjunction with respective unit heads, of public access catalogs, acquisitions and serials systems and of other library systems that directly interface with those systems. Such studies may include establishing requirements to be met by a system and determining the availability and reliability of systems marketed by various vendors. Studies conducted by the Assistant may also include the manner in which each system will interface with other computer-based and/or manual systems and the reorganization of workflow in the Division that may be required once a system is implemented. In addition, the Assistant for Systems Study may provide help to unit heads in various aspects of implementing new computer-based systems.

Dorr

THE DIVISION OF TECHNICAL SERVICES

A STUDY OF ITS PRESENT ORGANIZATION AND A PROPOSAL FOR CHANGE

APPENDICES



By
Ralze W. Dorr
Acting Director
Division of Technical Services

A Report Submitted to the University Librarian
University of Louisville Libraries
Louisville, Kentucky
August 31, 1983

TR053 D45

THE DIVISION OF TECHNICAL SERVICES
A STUDY OF ITS PRESENT ORGANIZATION
AND
A PROPOSAL FOR CHANGE

APPENDICES

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IR050 846

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APPENDIX I

Memo, dated February 1, 1983,
from Martha A. Bowman to Ralze Dorr

Interdepartmental Communication

University of Louisville
Louisville, Kentucky

DATE: February 1, 1983

TO: Ralze Dorr, Director
Office of Planning & Administrative Services
University Libraries

FROM: Martha A. Bowman Martha A. Bowman
University Librarian

SUBJECT: Acting Director of Technical Services

This is to confirm our verbal understanding that I will request that Vice President Garfinkel recommend that the Board of Trustees approve your appointment as Acting Director of Technical Services. Prior to the Board Meeting, I will appreciate your assuming these responsibilities, effective immediately.

As we have discussed, as you take on the Acting Directorship of this Division, there are some major considerations which should be kept in mind in directing the work of these departments. First and primarily is that of processing of materials throughout the Division. As you know, I have some concerns about the way in which materials are handled and believe that steps can be taken to effectively increase the rapidity with which materials are processed, primarily through the more effective use of OCLC. I will appreciate your examination of this matter, particularly in regard to the cataloging of monographic materials, and reporting to me in the very near future about what steps can be taken immediately to increase the rate at which materials are processed.

Secondly, I want you to thoroughly assess the personnel needs of the Division, particularly in regard to the Head of the Cataloging Department, the staffing pattern for original catalogers, the activities of a collection development function, and what requirements we look for in a permanent Head of Technical Services. These positions are critical in determining the manner in which we will operate over the next few years.

Thirdly, I will appreciate your looking at the organizational pattern of the entire Division and how functions may be realigned in order to more efficiently carry out the processing of materials and maintenance of bibliographic records. In particular, I am concerned about the way in which Serials records are maintained. I realize that this is a problem which cannot be solved without a great deal of thought, but I think we can make a good start in that direction.

Finally, as Acting Director of Technical Services, you will be in a position to assist with the over-all planning which must go on prior to having a permanent Head of this Division, and relating that planning to the planning process which will be taking place throughout the entire Library system.

We are very fortunate to have you available to take on this important assignment at this time. Please be assured that I will give you all the support which is required, and stand ready to assist you in any way that I can. I think we should plan to meet on a regular basis, in addition to any spontaneous meetings which may take place as needed. Therefore, I will have Ann set up an assigned weekly time when we know that we will be able to get together specifically to review Technical Services problems and issues.

MAB:ap
cc: Vice President Herbert Garfinkel

APPENDIX II

Memo and Attachments, dated February 28, 1983,
from Joyce McDonough to Gopala Myneni

Interdepartmental Communication

University of Louisville
Louisville, Kentucky

February 28, 1983

TO: Gopala Mynsni, Acting Head, Cataloging Dept.

FROM: Joyce G. McDonough, Chair, Workflow Committee

The Workflow Committee was asked to record all of the processes which occur within the Cataloging Department and to analyze the materials processed.

The attached flowchart maps out the various routines and procedures currently in use. The explanatory material which accompanies the flowchart explains each category of materials processed and presents the mean number of items cataloged in each process for the last three years (1980-1982, inclusively).

The Committee tried to record both the intellectual processes and the actions performed by rote. Though there are processes which remain unaccounted for in this survey (e.g., locating items-in-process for patrons), we have tried to cover every major operation.

We hope that you will find this report helpful.

Workflow Committee Members:

Ruth G. Field
Brenda D. Frank
Ruth Holman
Carol S. Honaker
Ben King
Tyler Miller

To truly understand the magnitude of the task which faces the Cataloging Department one should have a feeling for the procedures in each processing category and the number of items in each category. The procedures themselves are adequately detailed in the flowcharts. The following definitions are descriptions of the items which fall into each category.

LC I — An item classified as an LCI has an LC record on OCLC which is not CIP. It is a single volume work not destined for the Law Library. The 040 line on the OCLC printout will read DLC/cDLC or DLC/cDLC/dXXX.

LC II — An item classified as an LC II has an LC record on OCLC which is either CIP or an open entry for a multi-volume set. LCII's also include items destined for the Law Library. The 040 will read DLC/cDLC or DLC/cDLC/dXXX.

LC III — An item classified as an LCIII has an LC record on OCLC which has been input by a member library. The 040 will read DLC/cXXX. This category also includes DLC/cDLC books which have "LAW" in the classification number area (050 line).

090 — An item classified as an 090 has a record on OCLC which has been input by a member library. The 040 line will read XXX/cXXX or /cXXX.

090E — Items classified as 090E have two records: a matching record which has been input by a member library AND a DLC/cDLC record for an edition.

0 — There is no record available for this item.

0E — There is no record available for this item which matches exactly. However, there is a DLC/cDLC record available for an edition of the item.

S — Any and all records for Serials on OCLC will be examined by the Serials Cataloging section. These are acceptable without regard to originator. Items which are classified as Serials have known beginnings and no expected end. It is expected that the publication will continue indefinitely. The Bib lvl notation in the fixed field area of the record is "s".

AV — Items which are classified as added volumes are to be added to a previously cataloged serial. There may or may not be a record available on OCLC. There will be a card set for this title in the public catalog with a note, "FOR HOLDINGS SEE SERIALS RECORD". In addition, the entry will be open, e.g. v. : ill. ; 28 cm.

BC — Items which are classified as BC's are monographs. A book continuation is an intellectual work which is contained in more than one physical volume. It has a known beginning and end. You may not be able to predict the last volume's number but you know that there will be one, e.g. the collected works of Mahatma Gandhi. The card set in the public catalog will have either a "Lib has" note in the margin or a "LIBRARY HAS ALL VOLUMES PUBLISHED TO DATE" note on the cards. Most often the OCLC record will have our holdings symbol on the record.

RECLASS — These are items with Dewey call numbers which have circulated. The items need to be reclassified, converted into machine-readable form, and have new card sets produced.

CONVERSION — These are circulating items with LC call numbers whose cataloging records need to be converted into machine-readable form.

Each year approximately 14,300* titles come into Pre-Cataloging. Of this total, 3% are destined for Music, 3.6% for Speed, and 8.5% for Law. The remaining sources of items for Pre-Cataloging are Gifts (13.9%), Approvals (26.9%), and Orders (43.9%).

After being processed by the Pre-Cataloging Section, approximately 13,100 items are sent to other sections in Cataloging. Some of the difference in the figures comes from Rush and Semi-Rush items, which are not counted as they leave Pre-Cataloging; the remaining items are held over for further searching. Of the items which are sent on, 92.5% are in English, 2% are in French, 2% German, 1% Italian, and 2% Spanish. The remaining .5% are in languages not recorded statistically.

For the LC Catalogers, almost 96% of the items handled are in English. The remaining languages account for 1% each of the remaining 4%. For the Original Catalogers, the percentages are 83.7% English, 4.4% French, 5.3% German, 1.9% Italian, 3.8% Spanish, and .8% in languages not recorded statistically.

* The figures given here are the means for the years 1980-1982, inclusively. Using 1980 as a base, the number of incoming books was down 5% in 1981 and down 19% in 1982. For books leaving Pre-Cataloging, 1981 was down 13.86% and 1982 was down 28.64%.

The following is a breakdown of the mean number of items which went through each process annually with a percentage figure.[1] The percentage reflects the proportion of items going through a given procedure against the total number of items processed by the Cataloging Department.

Category	Mean Number	% of Total Processing
LC I	4,414	10.48
LC II	5,105	12.12
LC III	361	.86
090	2,376	5.64
090E	552	1.31
0	346	.82
0E	17	.04
AC	637	1.51
S New Titles	589	1.4-
S Cessations/Conv/ Reclass[2]	291	.29
AV	5,221	12.4-
Theses	304	.72
Reclass[3]	1,527	3.63
Conversion	20,372	48.38
TOTAL	42,112	100.00

Complete breakdowns by year are included in the Appendix to this report. In addition to the aforementioned items, there are always items in Pre-Cataloging which are unaccounted for statistically. There are approximately 1,300 in-process items, 628 in the original cataloging backlog, 150 book continuations waiting to be processed. In addition, there are 9 microform collections which should be analyzed. The approximate number of titles in each is as follows: Housing & Urban Affairs--3,000; Working Conditions in France--350; Model Cities--3,000; Crime & Juvenile Delinquency--300; Art Periodicals--11; Kentucky Culture--6-8,000; City Directories--3-4,000.

Notes

1. The statistics do not accurately reflect the number of book continuations during this time span, which is why they are omitted from the chart.

2. Average based on two years' statistics.

3. There are approximately 43,000 titles remaining to be reclassified from Dewey to LC.

4. There are approximately 107,000 titles remaining to be converted into machine-readable form.

APPENDIX

	LC I		LC II		LC III
1980	5,614	1980	5,016	1980	449
1981	4,770	1981	4,993	1981	243
1982	2,858	1982	5,305	1982	391
	13,242		15,314		1,083
Mean	4,414	Mean	5,105	Mean	361

	090		090E		OE
1980	3,237	1980	650	1980	8
1981	2,126	1981	564	1981	12
1982	1,764	1982	441	1982	31
	7,127		1,655		51
Mean	2,376	Mean	552	Mean	17

	Originals		Added Copies		Theses
1980	244	1980	432	1979/80	431
1981	371	1981	921	1980/81	362
1982	422	1982	558	1981/82	118
	1,037		1,911		911
Mean	346	Mean	637	Mean	304

	New Serials		Added Volumes		Cessations Conv/Reclass
1979/80	NA	1979/80	NA	1979/80	NA
1980/81	718	1980/81	5,494	1980/81	299
1981/82	460	1981/82	4,948	1981/82	282
	1,178		10,442		581
Mean	589	Mean	5,221	Mean	291

	Conversions		Reclass
1979/80	7,850	1979/80	812
1980/81	29,865	1980/81	325
1981/82	23,402	1981/82	3,443
	61,117		4,580
Mean	20,372	Mean	1,527

APPENDIX III

University of Louisville Library Cataloging Department
Annual Report 1979/80

UNIVERSITY OF LOUISVILLE

LIBRARY

CATALOGING DEPARTMENT

ANNUAL REPORT

1979/80

David H. Michener

Head

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Summary of 1979/80 Cataloging Department Activities

Impressive increases in production were recorded by the Department in 1979/80. Monographic titles cataloged were up 18.5%; monographic volumes cataloged were up 19.1%. The rise is attributable in part to the relatively small turnover among LC catalogers, but, in the main, to hard work by both original and LC catalogers. Serials titles cataloged were up 63.3% and serial volumes were up 9.8%. The increase in this case was due to a much higher rate of serials acquisitions, especially in microform, and to the conversion of some monographic titles to serial format. A special effort to catalog University of Louisville theses was very successful. The increase over the previous year's output was 48.4%. Streamlined procedures coupled with a very strong effort by the professional and LC catalogers were responsible for this achievement. Table I sets out the figures in full.

The statistics are all the more impressive in the light of the fact that the Retrospective Conversion Project came into full swing using only the existing staff. 7850 records were converted, an increase of 631.5% over the tentative beginnings of last year.

The Cataloging Department faculty and staff are to be commended for the progress they have made in processing new materials. Their accomplishments are particularly striking considering the time committed to RetroCon and the extra duties imposed on so many by the loss of a critical professional position. In a year of change the Department responded with an admirable surge forward in production. Whether similar gains can be achieved in the coming year, given the continuing shortage of personnel and the move to the new building, is open to question.

The past year was notable for major personnel changes. Ruth Field, Department Head for many years, retired at the end of 1978/79. She returned to the Department in November as Supervisor of Retrospective Conversion and Science Cataloger. After her retirement, Dayle Manges, Head of the Monographic Cataloging Section, acted as interim Head. In November David Michener accepted appointment as the new Head. He took up his duties at the end of January. Before Mr. Michener arrived Mr. Manges and his position were transferred out of the Department.

The loss of a skilled professional and a senior faculty position was a severe blow to the Department and one which necessarily increased the burden of work on the remaining faculty and staff. An experienced professional cataloger, Thomas Lehman, assumed responsibility for supervision of the LC catalogers and for revision of new cataloging done by them. These duties forced him to give up most of the original cataloging he formerly did. The two remaining original catalogers, Janice Platt and Tyler Miller, although very capable, were not able to keep up with the influx of new materials. Backlogs accumulated as a result. The books themselves were no longer checked by a professional cataloger. A backlog of conflicts in headings developed for lack of professional time to resolve them. The task of compiling daily statistics fell on the Bibliographic Records Section, slowing down its operations. The time lag between input of a record at the terminal and filing of the cards in the public catalog increased from three to four weeks to five to six. The Pre-Cataloging

Librarian, Joyce McDonough, took on the processing of monographic added volumes, although that had little to do with the functions of her Section.

In March, 1980 the Department was reorganized. The Monographic Cataloging Section, having been rendered headless, was abolished. The original catalogers now reported directly to the Department Head. LC cataloging was made into a separate Section. Thomas Lehman, who had supervised the LC catalogers on an interim basis since July 1979, was named Head. The Pre-Cataloging unit was designated a Section and Joyce McDonough was appointed Head.

Other Departmental Activities

Mr. Michener, Mr. Lehman, and other members of the Department participated in the lengthy discussions held to select a computer system for the library.

During the spring the Department Head and the Section Heads reviewed and revised existing projections of space and equipment needs in the new library building. A series of meetings was held with the Library Planning Officer. Mr. Dorr is now aware of the space requirements for all areas of the Department.

Cataloging consulted with, and advised, the Music Library and the Health Sciences Library in their efforts to obtain membership in SOLINET and to do their own on-line cataloging.

The Library of Congress Shelf List on 3,229 sheets of microfiche was received and housed in the Department. It proved to be a valuable tool in answering classification questions.

After a frustrating series of delays a new printer was ordered to supplement the existing one which was inadequate for the Library's needs and was subject to frequent malfunctions.

Looking Toward 1980/81

The Department performed beyond expectations this year. We hope we can continue to do as well in the new year. The loss of a professional position and a "frozen" vacancy in LC Cataloging make the beginning inauspicious, but the faculty and staff are competent and hard-working, and should distinguish themselves again.

We look forward eagerly to moving into the spacious technical services area of the new building. Although we know that our work will be disrupted for a time while we adjust to our new quarters, we will resume normal operations as soon as possible.

The Retrospective Conversion Project will continue to receive as much attention as can be spared from current processing. We recognize

that providing new materials for the use of the University community is our highest priority. Without additional support from outside the Department, RetroCon will have to go on competing with other critical needs for staff and terminal time.

SOLINET has announced a new schedule of OCLC charges for on-line cataloging. Once these take effect on September 1, 1980 our costs will be significantly increased. A summary of the increases follows:

SOLINET Price Changes Effective September 1, 1980

First-time-use (FTU)	$ 1.36	increase $.11
SOLINET surcharge	.28	no increase
First-time-update (FUP)	1.36	increase $.11
SOLINET surcharge	.28	no increase
Reclassification (FTU & FUP)	.70	increase $.07
Retrospective conversion		
First-time-update - Prime time	.60	new charge
First-time-update - non Prime time	.05	new charge
Catalog cards	.042	increase $.006
OCLC Modem lease	63.00	increase $7.45 per month
2 Modems		increase $14.90 per month
Station terminator lease	27.00	increase $2.00 per month
2 Terminators		increase $4.00 per month

The above rates will be discounted this year at 4½% instead of 6% since we will be paying semi-annually in advance rather than annually.

On January 2, 1981, we will begin applying the provisions of the second edition of the Anglo-American cataloging rules to new cataloging. The latest research on the impact of the new rules on existing library catalogs suggests that it will not be as severe as once anticipated. Through heading changes and the judicious use of references we should be able to handle the interfiling of new records in our present card catalog.

Janice Platt and Tyler Miller attended a two-day workshop on AACR 2 in May to familiarize themselves with the new rules. The rest of the Cataloging faculty and one of the LC catalogers will participate in a one-day workshop in September.

SOLINET

SOLINET Costs 1979/80

Dues		$ 200.00
Terminal maintenance		
Rate: $396.00 per terminal per year		
4 terminals x $396.00 (less 6% discount)		1,488.96
1 terminal (1/10/80 - 6/30/80)		188.10
Telecommunications		
Rate:		
Leased telephone line	$150.00 per month	
Modem lease (2)	119.10	
Station terminator (2)	50.00	
	$319.10 per month	
Total charges including 6% discount		3,599.42
First time use charges (FTU)		
Rate:		
OCLC	$1.25 per use	
SOLINET	.28	
	$1.53 per use	
18,661 FTU's including 6% discount		26,847.09
First time updates (FUP)		
Rate:		
OCLC	$1.25	
SOLINET	.28	
	$1.53	
76 FUP's including 6% discount		109.33
Reclassification: FTU & FUP		
Rate:		
OCLC	$ .63	
SOLINET	.14	
	$ .77	
656 FTU's including 6% discount		511.03
5 FUP's including 6% discount		3.62
Catalog cards		
Rate: $.036 per card		
194,952 cards including 6% discount		6,961.46

Inter-Library loan
Rate: $.95 per request

1315 requests including 6 % discount .....$ 1,170.73

One time charges
Baud rate change and profile changes 363.08

TOTAL SOLINET COSTS $41,242.82

PRE-CATALOGING SECTION

Section Head: Joyce G. McDonough; Library Searcher II: David Meyer.

During the year, the personnel of the Pre-Cataloging section has remained constant, although the amount of physical space the section encompasses has increased. Acquisitions gave us the area that the Planning Office vacated. Four sections of shelving were moved in. Pre-Cataloging is also storing its PR2's in the Reynolds building. PR2's are those items with an imprint date prior to 1965 which are destined for the general stacks. There are 538 PR2's.

This year the section received 16,055 items from Acquisitions. Table 1 shows the distribution by Acquisitions status and origin. Pre-Cataloging has sent on to Cataloging 16,365 items, not including Added Volumes. The distribution by language and status is shown in Table 2. Currently there are 1,583 books in Pre-Cataloging's backlog. This does not include 0's.

Through a change in our internal record keeping, we have determined that it is feasible to eliminate one of the searches performed in Pre-Cataloging. The length of the search process will, however, remain the same.

The items going to the original catalogers moved as rapidly as could be expected, since there were only 2 original catalogers available. Only those items without any copy in the OCLC database backed up. At year's end there were 267 items which have been searched in the National Union Catalogs, waiting for the original catalogers; there were 200 more items to be searched in the NUC's. Scott Bullard weeded the 0's for Pre-Cataloging which eliminated about half of them.

There were 2,483 items sent to the bindery department for external processing. There had been a problem with loss of bibliographic information in the binding process when covers were removed. The bindery now binds in both the front and back covers which seems to have elimated the problem. We do not keep records on the number of items bound internally.

The "bounce shelf" was created at the end of July 1979. Any items which had any sort of discrepancy in searching were to be placed there. 8% of the items placed on the bounce shelf were actually editions rather than added copies or vice versa. 9% had discrepancies in destinations codes, or similar problems. 21% had a non-matching printout with the book. Name conflicts accounted for 62% of the items on the bounce shelf. Of the 16,055 items sent to Cataloging from Pre-Cataloging only 237 (1.47%) landed on the bounce shelf.

The Section's manual has taken the form of flow charts. There are currently flow charts for three out of the five major procedures in Pre-Cataloging.

The Pre-Cataloging librarian has continued to catalog:

1. all added volumes;
2. all Slavic language materials (These records are now transliterated and entered into the OCLC database.);
3. reinstatements;
4. 2 major microform acquisitions (American Periodical Series and Russian Futurism.)

The Scope Data printer continued to be a problem.

PRE-CATALOGING SECTION TABLE 1 1979/80

INCOMING BOOKS BY STATUS

OVERALL		50's		90's		0's		AV's		AC's	
TOTAL	16,055	TOTAL	9160=57.05%	TOTAL	3407=21.22%	TOTAL	2651=16.51%	TOTAL	420=2.61%	TOTAL	417=2.59%
G & E	2409=15%	G & E	721=7.87%	G & E	744=21.83%	G & E	658=24.82%	G & E	80=19.04%	G & E	206=49.40%
BLANKET	3656=22.77%	BLANKET	2732=29.82%	BLANKET	459=13.47%	BLANKET	417=15.72%	BLANKET	45=10.71%	BLANKET	3=.71%
ORDERS	7291=45.41%	ORDERS	4563=49.81%	ORDERS	1592=46.72%	ORDERS	785=29.61%	ORDERS	221=52.61%	ORDERS	130=31.17%
SPEED	1595=9.93%	SPEED	767=8.37%	SPEED	292=8.57%	SPEED	453=17.08%	SPEED	43=10.23%	SPEED	40=9.59%
MUSIC	447=2.78%	MUSIC	145=1.58%	MUSIC	80=2.34%	MUSIC	150=5.65%	MUSIC	31=7.38%	MUSIC	41=9.83%
LAW	770=4.79%	LAW	316=3.44%	LAW	251=7.36%	LAW	203=7.65%	LAW	--	LAW	--

PERCENTAGE OF SECTION'S BOOKS BY STATUS

50's		90's		0's		AV's		AC's	
G & E	721=29.92%	G & E	744=30.88%	G & E	658=27.31%	G & E	80=3.32%	G & E	206=8.55%
BLANKET	2732=74.72%	BLANKET	459=12.55%	BLANKET	417=11.40%	BLANKET	45=1.23%	BLANKET	3=.08%
ORDERS	4563=62.58%	ORDERS	1592=21.83%	ORDERS	785=10.76%	ORDERS	221=3.03%	ORDERS	130=1.78%
SPEED	767=48.08%	SPEED	292=18.30%	SPEED	453=28.40%	SPEED	43=2.69%	SPEED	40=2.50%
MUSIC	145=32.43%	MUSIC	80=17.89%	MUSIC	150=33.55%	MUSIC	31=6.93%	MUSIC	41=9.17%
LAW	316=41.03%	LAW	251=32.59%	LAW	203=26.36%	LAW	--	LAW	--

PRE-CATALOGING SECTION

TABLE 2

1979/80

OUTGOING LANGUAGES

TOTAL:	15,551	
ENG:	13,893	= 89.33%
FRE:	376	= 2.41%
GER:	643	= 4.13%
ITA:	208	= 1.33%
SPA:	317	= 2.03%
OTH:	114	= 0.73%

LC I & LC II

TOTAL:	11,109	
ENG:	10,421	= 93.80%
FRE:	131	= 1.17%
GER:	265	= 2.38%
ITA:	91	= 0.81%
SPA:	153	= 1.37%
OTH:	48	= 0.43%

ORIGINALS

TOTAL:	4,442	
ENG:	3,472	= 78.16%
FRE:	245	= 5.51%
GER:	378	= 8.50%
ITA:	117	= 2.63%
SPA:	164	= 3.69%
OTH:	66	= 1.48%

BREAKDOWN

TOTAL:	16,385	
LC I:	6,997	= 42.70%
LC II:	4,112	= 25.09%
LC III:	389	= 2.37%
090:	3,217	= 19.63%
090E:	600	= 3.66%
0:	188	= 1.14%
0E:	48	= 0.29%
AC:	583	= 3.55%
ALL ORIG:	4,442	= 27.11%
SERIALS:	251	= 1.53%

LC CATALOGING SECTION

Section Head: Thomas Lehman; LC Cataloger I: Martha Akers, Eleanor Bishop (shelflister); LC Cataloger II: Brenda Frank, Adela Trigo de Serrano, Kevin Millham (10/24/79 -), Jacqueline Brown 11/15/79 - 6/30/80).

The LC Cataloging Section is a new section within the Cataloging Department. The members and activities of the section were previously part of the Monographic Cataloging Section. In July 1979 the acting Head of the Department asked Mr. Lehman to assume responsibility for the supervision of the LC Catalogers and for revising catalog cards prior to filing. With the loss of the position of Head, Monographic Cataloging Section, the new Head of the Department asked Mr. Lehman to continue as supervisor of LC cataloging, and in March 1980 officially designated LC Cataloging as a separate section with Mr. Lehman as Head.

In addition to its primary duty of producing cataloging records for materials acquired by the Library, the Section was heavily involved in retrospective conversion of manual bibliographic records produced by the Department prior to joining SOLINET in 1975. Each LC Cataloger devoted one terminal day (four hours) to conversion per week during the latter half of the year. Toward the end of the year, as increased difficulties with BATAB reduced the flow of new books into the Department, the Section was able to allocate even more time to conversion, and, in addition, to reduce a backlog of added copies and theses.

Some of the notable accomplishments of the Section have been the successful implementation of a new and streamlined procedure for processing added copies, and of a new procedure for theses that enables LC Catalogers to catalog theses with a minimum of involvement by professional catalogers.

Credit is due the LC Catalogers for holding up well under difficult circumstances, including increasing periods of terminal down time, and an increased volume of books coming into the Department during the first part of the year, and for adapting well to numerous changes in procedures.

ORIGINAL CATALOGING

Catalogers: Janice Platt, Tyler Miller

The original catalogers continued to be responsible for the cataloging and classification of all monographs for which Library of Congress MARC data was not available. (The only exception was books in the Cyrillic alphabet which were handled by Joyce McDonough.) They did original cataloging for items lacking a record in the OCLC data base and edited all records found in the data base which were not LC. They also modernized and tagged all LC records found in the National union catalog but not yet converted to machine-readable form.

Janice Platt completed cataloging a huge collection of housing and urban affairs materials on microfiche which she had begun working on in 1978/79.

Tyler Miller developed a procedure for cataloging tape cassettes, a type of material new to the Library.

The original catalogers rendered signal service in preparing hundreds of U of L theses for input. The result was nearly double the number of theses cataloged over the last year.

In February Ms. Platt and Ms. Miller began to do some of their own inputting at the terminals. Through the end of the year Ms. Platt had input 58 records and Ms. Miller had input 63.

Ruth Field and Tom Lehman had nominal original cataloging assignments during the year but were prevented by the press of other duties from doing much actual cataloging.

SERIALS SECTION

Jane Grayes, Head: Ruth Holman, Library Assistant III; Jean Black, Library Assistant II, and terminal operator.

There was an influx of new cataloging from two sources that added significantly to the work load of the Serials Section this year. One was the release of a backlog of gifts, etc. from the Speed Scientific School. The other source was a huge increase in new subscriptions, especially business periodicals. We cataloged many titles on microfilm, but many more had to be shelved by title because we did not have the staff time to classify and catalog them. Because of OCLC requirements, microforms cannot be input on records for hard copy which, in turn, called for more time consuming original cataloging.

New cataloging rules have added to the work of our understaffed section. Since dash-ons are no longer allowed, the majority of supplements must now be fully cataloged as new serials. The successive entry rule for title changes may require from two to eight new cataloging records for the varying titles of one serial.

In addition to cataloging new titles, conversion and retrospective conversion were done on a limited basis as time permitted. Several multi-volume monographic sets were converted to serials to make for quicker access for patrons as continuing volumes are received. Also many law serials which had been cataloged as monogrpahs were converted to serial records and entered properly into our SOLINET database.

In the fall we agreed to a trial run of cataloging new journals from our first issue. This works well for established journals which have available records but not for newly published titles. It takes much longer to catalog a serial than a monograph because more tools have to be searched for the bibliographic information and more local information has to go on the record.

Other duties of this section include adding to the existing holdings records all non periodical volumes received, typing and mailing report slips for new titles to "New Serial Titles", and making duplicate report slips for the new titles in the LC schedules of Q,R,S,T,U,V to be sent to "Chemical Abstracts."

We reclassified and converted to OCLC three titles from the Illinois Geological Survey which involved handling 525 issues. "Analecta hymnica medii aevi" which consisted of 371 sheets of microfiche was transferred from the Central Library to the Music School Library.

In June we finally received the long awaited revision of the OCLC manual for on-line serials cataloging: "Fixed and Variable Field Tags for Serial Records." (Rev. April 1980)

BIBLIOGRAPHICAL RECORDS SECTION

Gopala Myneni, Head: Nancy Hanaford (to 8/15/79), Carolyn Hohmann (9/12/79 -), Author/Title Catalog editing and updating; Erlinda Paguio, Subject Catalog editing and updating; Carol Honaker, Shelf list editing, withdrawals, transfers, revising half of Author/Title catalog, updating archival tape; Carolyn Hohmann (to 9/11/79), Linda Lengfellner (11/8/79 - 4/28/80), Jerryne Coxe Stithem (5/12/80 -), OCLC card processing; Marie Henry, Linda Lengfellner (to 11/7/79), Jerryne Coxe Stithem (2/11/80 - 5/11/80), Library Assistants.

In addition to keeping up the regular work flow, other accomplishments included : 1. completed the "transfer project" of Browsing Collection books initiated by the Circulation Department; 2. transferred several hundred volumes from the Patterson Room to the stacks (project still continuing); 3. 251 drawers of the subject catalog were systmatically checked and headings changed from "direct" to "indirect"; 4. the Bingham Poetry Room catalog was expanded and relabeled.

During the past year the Bibliographical Records Section has assumed the following additional responsibilities: 1. maintenance of the Bingham Poetry Room catalog, including filing; 2. providing series cross-references for professional school and branch libraries; 3. preparing daily and monthly statistical reports; 4. processing some added copies.

Due to the shortage of professional catalogers, a backlog of conflicts discovered in the public catalog has grown. Resolution of these conflicts requires professional expertise and must wait until some faculty time is available. Another backlog, this of records needing on-line updating, has developed pending the addition of staff and more terminal time.

There were several changes in personnel resulting in a loss of almost five months of Library Assistant I, three months of Library Assistant II, and one month of Library Assistant III time. In spite of this, the work of the Section proceeded smoothly because of the cooperative spirit and hard work of the staff.

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SHELF LIST EDITOR

NAME Honaker DATE July 1979 -- June 1980

	GENERAL	AFRO-AMERICAN	ART LIBRARY	BINGHAM POETRY ROOM	COLLEGE LIBRARY	LIFE SCIENCES	NATURAL SCIENCES	PATTERSON ROOM	PHOTO-ARCHIVES	REF. DEPT. HIRL.	SCHOOL OF MUSIC	SPEED SCHOOL	TOTA
TITLES WDWN FROM DEWEY	351		3	2				5					364
TITLES WDWN FROM L.C.	682	19	10	6	6			30		6	1		720
VOLS. WDWN FROM DEWEY	437		3	2				7					449
VOLS. WDWN FROM L.C.	805	23	13	11	14	1	4	56		7	1		935
SHELF LIST PROBLEMS INVEST-IGATED	167												167

COMMENTS: Transferred several hundred Browsing books to the stacks in November and December.
Transferred several hundred Patt Rm books to the stacks throughout the year.
Trained a student assistant to file in the author-title catalog in February.
Expanded the law shelflist from 17 to 18 drawers in March.
In November my assistant, Linda Lengfellner, was promoted to TACP. A new assistant, Jerryne Stithem, began in February, but in May she too was promoted to TACP.

SHELF LIST FILED THROUGH 5-6-80.

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AUTHOR-TITLE CATALOG

Carolyn Hohmann, Author-Title Catalog Editor

Carolyn Hohmann succeeded Nancy Hanaford as Author-Title Catalog Editor in September 1979.

The Author-Title Editor's unit completed typing and filing a backlog of series authority records. It began providing series cross-references for branch and professional school libraries. Law Library series authority cards and series cross-references for the Law Library began to be made. Maintenance of the Bingham Poetry Room catalog became a responsibility of the A/T Editor, who expanded and rearranged it. Two persons were trained for the position of Technical Assistant for Card Processing and one for Library Assistant I (typist).

Statistics are below.

Discrepancies resolved	652
Cards corrected	1114
References added or corrected	4157
OCLC cards corrected	1726
Health Sciences cards filed	1400
Health Sciences cards adjusted	724
Series Authority cards added	1982

SUBJECT CATALOG

Erlinda G. Paguio, Subject Catalog Editor

In June 1979 we adopted the use of "Indirect" geographic subdivision for all subject headings, even in cases where the headings in question were still shown in Library of Congress subject headings as directly subdivided. We did this as we received each subject card. In April 1980 we began to check the subject catalog drawer by drawer to change those headings that were still directly subdivided. Drawers 1-251 have been done. The 9th edition of LCSH received in June 1980 reflected the change from (Direct) to (Indirect) to conform to a decision made by LC a few years ago.

A number of notable subject heading changes were made this year, including: Boers to Afrikaners; Central African Republic to Central African Empire; Dynamos to Electric generators; Flying saucers to Unidentified flying objects; Archives--Inventories, calenders, etc. to Archives--Catalogs; Cultus to Cults; Rime to Rhyme; Gipsies to Gypsies; Economics, Primitive to Economic anthropology. Subdivisions like --Laws and regulation; --Law; --Laws and legislation have been changed to --Law and legislation (Indirect); --Cases, clinical reports, statistics to --Case studies and/or --Statisitcs. Finally, the subdivision --To 1800 was deleted from all music headings.

We made a number of new labels and shifted cards to relieve overcrowded drawers in the subject catalog. We also finished checking the January-December 1978 supplement to LCSH against the subject catalog and corresponding changes and corrections were made.

Our assistant Mrs. Marie Henry, and our student assistants this year, David Bartsch, Karen Mudd, Vicki Dearing and Tamila Ebrahimi were of great help in our work.

Statistics are below.

Cards changed	3,600
References made and traced	1,861
See also notes added	59
Obsolete references withdrawn	307
New subjects added	10,182
New scope notes added	84

SHELF PREPARATION SECTION

Mary Webb, Supervisor; Ben King, Library Assistant; Beverly Lacefield, Library Assistant (half-time); Vanessa Capp, Beth French, Student Assistants

1979/80 was stable as far as personnel was concerned. Ben King and Beverly Lacefield continued to work diligently and to cope with changes.

Our actual book count was down slightly; however, books and materials for branch libraries increased considerably. We kept a daily count, which we totaled at the end of each month (copy appended). According to our records we had many more gift plates, microfilms, and theses, and significant increases in cards and pockets, pambind labels, mended books to relabel, rush items, and serials.

The Section's work area remained cramped and inadequate for the number of books and book trucks which must pass through it. The congestion was relieved slightly when a large collection of decaying volumes which had occupied most of the shelving on the south side of the Section was removed through the good offices of the Acquisitions Department. Shelf Preparation is looking forward to more suitable quarters in the new building.

YEARLY REPORT: JULY 1, 1979—JUNE 30, 1980

MTH	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY	JUNE	TOTALS
OK COUNT	2085	1921	1349	1435	1328	1370	1748	2129	1714	2115	2098	1571	20,863
FT PLATES	90	140	120	152	169	199	194	259	142	222	239	254	2,180
RDS AND CKETS	277	262	320	253	295	238	313	476	442	357	431	202	3,866
M BIND BELS	132	84	66	135	111	151	114	235	108	177	195	86	1,594
CROFICHE	62	115	59	27	72	107	136	126	108	5	—	2	819
RRECTIONS	43	33	27	59	8	51	17	91	30	12	1	3	375
NDING BOOKS	104	53	118	34	101	139	109	42	52	59	89	67	967
SH BOOKS	128	299	39	133	118	63	135	93	95	43	55	39	1,240
RIALS & RIODICALS	112	221	133	79	113	155	156	170	166	164	182	78	1,729
ESIS	28	—	1	—	—	—	1	—	26	114	106	155	431
NSFERS	3	5	—	3	161	11	33	15	19	5	7	77	339
ROFILM	3	42	2	3	3	57	6	4	—	215	27	35	397

RETROSPECTIVE CONVERSION PROJECT

33

Supervisor: Ruth Field

I. Conversion

1. Titles converted.

7850 titles were converted. See accompanying chart for breakdown by LC classification and holding library. We concentrated on the "easy" records, i.e., those for which we had LC copy and hence could expect to find in the data base a high proportion of MARC records or records input from LC cards. The hit rate ran about 92.65%. "No hits" and other unconvertible titles such as serials, non-roman records, dash-ons, etc. have been deferred. They number approximately 1700.

2. Time and personnel used.

Beginning December 1 and continuing through June 20 four L.C. catalogers spent one day a week on retrospective conversion, four hours at the terminal, the remainder on related duties, chiefly updating access points at the public catalog. A fifth L.C. cataloger supervised a now-and-then work study student who Xeroxed a large portion of the H classification in the shelf list.

An occasional free hour of student time from anywhere was used to record OCLC numbers on shelf list cards, arrange slips, etc.

Beginning June 23 and continuing into the new year the four L.C. catalogers devoted half of each day to conversion. New books had been delayed in reaching Cataloging because of a system change in Acquisitions thus freeing some terminal time.

Two full time students were employed for a seven week period, May 12 - June 27, for the purpose of completing as much as possible of the Xeroxing of the shelf list for the Circulation Conversion File. They worked a total of 461 hours. We also had some copying done evenings by a member of the library faculty.

A third part time student was assigned May 1 to record the backlog of OCLC numbers on the shelf list for conversion done during the year, compile statistics, and later to assist with the Xeroxing.

The project supervisor devoted one hour daily to work at the terminal in order to become more familiar with the problems and to convert some of the more difficult titles. She also filled in for absentees at the terminal.

3. Terminal hours used.

Hours scheduled for L.C. catalogers and supervisor 632
Hours actually used according to time sheets which are kept at the terminals 548.50
Difference attributable to "terminal down time," "people down time," or failure to record time on time sheets 83.50 (13.2%)

4. Conversion rate per hour.

7850 titles ÷ 548.50 terminal hours = 14.3 "easy" titles per hour

II. Xerox copying of shelf list.

During the seven week special copying project 246 shelf list drawers were Xeroxed, cut, and assembled in shelf list order. The order of copying was determined by the Circulation Department and was based on their study of which areas of the LC classification had the heaviest circulation.

Estimating 625 cards per drawer to be copied, the total number of cards copied was 153,750.

85 drawers (approximately 53,000 cards) remain to be copied. With two part time students it is hoped the project will be completed by late summer or early fall.

III. Plans for beginning over the counter conversion.

The Xerox copies of the shelf cards are to be boxed, guide cards made, boxes labelled, and sent to Circulation.

As unconverted books circulate, slips from the file will be returned to RetroCon for conversion. Two unknowns at this point are how many unconverted items circulate per day and how many of them can be converted with present staff.

IV. Other activities.

A Retrospective Conversion Manual was prepared at the beginning in November. Some modifications have been made. If untrained people are employed to work evenings, a more simplified chapter will need to be added.

Four plans were drawn up for projected retrospective conversion projects of varying degrees of magnitude. None has as yet been funded.

V. The blow from OCLC.

OCLC has announced that beginning September 1, 1980 a charge for conversion will be made. During prime time, 9 a.m. to 4 p.m. the charge will be $.60 per title. During non prime time, 7 - 9 a.m. and 4 - 10 p.m., a charge of $.05 will be in effect. The reason given is that retrospective conversion has risen to almost 45% of their on-line cataloging activity. No charge is made, of course, for original input into the data base.

The 7850 titles converted this year would have cost the library $4,710.00 had the conversion charge been in effect this year.

Many thanks are due to members of the Cataloging Department who generously gave of their time in helping to get the shelf list refiled after the whirlwind copying project.

J. of L. Lib. Cat. Dept. Statistics — Retrospective Conversion — Date 1979/-80

CLASSIFICATION	KLGC	KLGG/ AFR	KLGA	KLGB	KLGC	KLGL	KLGN	KLGP	KLGF	KLGR & BIBL	KLGS	KLGK	KLGM	TOTAL
AG	1													1
AS										1				1
BF	1													1
D	2													2
F	2													2
H	3													3
HF	2													2
HG	2													2
HM	1													1
HT	1													1
HV	2									1				3
L	1													1
LB	1													1
M		5		3				3		1			64	76
ML	271	21	7	2	10		2	4		35			1705	2057
MT	57									4			471	532
N			1											1
NX			1											1

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U. of L. Lib. Cat. Dept. Statistics — 2 — Retrospective Conversion Date 1979/80

LASSI-ICATION	KLGG	KLGG/AFR	KLGA	KLGB	KLGC	KLGL	KLGN	KLGP	KLGF	KLGR & BIBL	KLGS	KLGK	KLGM	TOTAL
P	188	2			2		3			5				200
PB	42							4		1				47
PC	131				2			2		16				151
PD	120		1							5				126
PE	333	4			13	1		5		39			2	397
PF	42									5			1	48
PG	199			6	1		1	3		5				215
PH	8			2										10
PJ	69	2	2	2				2		2				79
PK	41			1				1						43
PL	85	13	1	3						7				109
PM	25						1							26
PN	1433	12	36	5	21			69		40	1		1	1618
PQ	1511	3	11	9	13			35		6				1588
PR	433		1		4			10		6				454
Q	1													1
QA							1							1
QB							1							1

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J. of L. Lib. Cat. Dept. Statistics — Retrospective Conversion — Date 1979/-80

CLASSIFICATION	KLGG	KLGG/AFR	KLGA	KLGB	KLGC	KLGL	KLGN	KLGP	KLGF	KLGR & BIBL	KLGS	KLGK	KLGM	TOTAL
QC							4							4
QD	1						12							13
QE	3													3
QH	1					5	1							7
QL	1						1							2
QP	1						1							2
R	1													1
RC							1							1
RM	1													1
RS							1							1
TA							1				1			2
TJ	1													1
TL											1			1
TN	1													1
TP											1			1
VA	1													1
Z	1									5				6
TOTAL	5021	62	61	33	66	6	31	138	0	184	4	0	2244	7850

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Personnel Information (1979/80)

NAME AND POSITION	RESIGNED OR TRANSFERRED	REPLACED BY	DATE	TIME LAPSE
Hanaford Lib. Asst. III	8/10/79	Hohmann	9/12/79	22 days
Woods LC Cat. II	8/17/79	Brown	10/15/79	45 days
Nixon LC Cat. II	8/24/79	Millham	9/24/79	20 days
Hohmann Lib. Asst. II	9/11/79	Lengfellner	11/12/79	43 days
Lengfellner Lib. Asst. I	11/12/79	Coxe	2/11/80	60 days
Lengfellner Lib. Asst. II	5/2/80	Stithem	5/12/80	5 days
Stithem Lib. Asst. I	5/12/80	Warkentin	7/1/80	36 days
			TOTAL	231 days

Support staff

Vacancies - 231 days
Leave without pay - 267 hours (35.6 days)
Sick leave - 1460 hours (194.66 days)
Administrative leave - 22.5 hours (3 days)

Temporary employees

Mark Butler	5/12/80 - 6/27/80	215 hours
Margaret Walker	5/12/80 - 6/27/80	246 hours
		461 hours

Student Assistants -	Library payroll	4895.5 hours
	Work Study	500.5 hours
		5395.0 hours

ACTIVITIES OF CATALOGING DEPARTMENT MEMBERS

Jean Black

Courses taken: Beginning German
Visits to other libraries: Library of Congress, Smithsonian Institution

Ruth Field

Committes: Academic Planning Committee, Subcommittee on Information, Subcommittee of Operations
Memberships: ALA; KLA; Ohio Valley Group of Technical Service Librarians; AAUP; U of L Library Associates; U of L Women's Club

Brenda Frank

Committees: Task Force on the Future of the Catalog
Courses taken: Women in American Culture; American Short Fiction
Visits to other libraries: Bartholomew County Public Library, Columbus, Indiana

Jane Graves

Committees: Transfer and Withdrawal; Professional Travel (alternate)
Memberships: ALA; KLA; SELA; AAUP; Ohio Valley Group of Technical Service Librarians; Filson Club; Smithsonian Associates; U of L Women's Club
Visits to other libraries; Guggenheim Museum; Metropolitan Museum of Art

Carolyn Hohmann

Committees: Library Staff Cabinet; U of L Library Association, Social Committee

Thomas Lehman

Committees: Personnel; Computer Applications; Task Force on the Future of the Catalog; Subcommittee on Closing the Card Catalog
Meetings: Ohio Valley Group of Technical Service Librarians

Joyce McDonough

Committees: Professional Travel (chair); Economic Welfare; Kentucky SOLINET Users' Group, Hardware Information Committee; KLA Intellectual Freedom Committee
Memberships: ALA; KLA; AAUP; U of L Library Associates (attended meetings of all)
Courses taken: German A141, A142
Visits to other libraries: Library of Congress; New York Public Library

David Meyer

Courses taken: Intermediate Creative Writing-Poetry
Awards: 3rd place, Metroversity Creative Writing Contest - Poetry; Superior Achievement Award, U of L Creative Writing Competition - Poetry

David Michener

Committees: Computer Applications; Task Force on the Future of the Catalog (chair); Planning Council; Academic Planning Committee, Subcommittee on Information, Subcommittee of Operations (co-chair)
Meetings: SOLINET Annual Membership Meeting, Atlanta, May 1980
Memberships: African Studies Association; KLA

Tyler Miller

Committees: Constitution and Bylaws; Subcommittee on Closing the Card Catalog
Workshops: AACR II Workshop, Lexington, May 1980
Courses: Italian 101, 102
Memberships: ALA; U of L Library Associates
Other: Coordinator for University Libraries for United Way Campaign

Gopala Myneni

Committees: Economic Welfare; Grievance; Task Force on the Future of the Catalog; Subcommittee on Closing the Card Catalog (chair)
Memberships: Ohio Valley Group of Technical Service Librarians; KLA

Erlinda Paguio

Memberships: American Historical Association
Courses: Italian 101, 102
Other: Co-editor of Z

Janice Platt

Committees: Multimedia; Constitution and Bylaws; Improvement of Teaching
Workshops: Conservation of Library Materials, Fall 1979; AACR II Workshop, Lexington, May 1980
Courses: Russian 321, 322
Other: Prepared and mounted exhibit of WW I enlistment posters (with Assistant Rare Books Curator)
Memberships: ALA

Mary Webb

Committees: U of L Staff Senate, Credentials Committee; U of L Library Association, Social Committee
Memberships: U of L Women's Club; Delta Theta Tau Sorority (philanthropic), Secretary

Nancy Weisiger

Committees: U of L Staff Senate, Credentials Committee; Parking, Planning and Policy Committee

Table 1

Summary of All New Cataloging, Reclassification, Withdrawals, Transfers, and Conversions to OCLC Done in Cataloging Department, 1979/1980

	Central Library	Afro-Amer. Lib.	Art Lib.	Bing. Poet. Rm.	Coll. Lib.	Life Sci. Lib.	Nat. Sci. Lib.
Monographs:							
Titles	10,426	154	1,286	176	1	487	877
Volumes	11,779	156	1,468	183	24	571	1,045
Serials:							
Titles	343		19			24	38
Volumes	2,515	1	328	1	145	739	1,229
Theses:							
Titles	235					1	
Volumes	342		7			13	20
Microforms:							
Titles	459		50				
Cards							
Fiche	1,524		99				
Reels	4,354						
TOTAL TITLES CATALOGED	11,463	154	1,355	176	1	512	915
TOTAL VOLUMES CATALOGED	14,636	167	1,803	184	169	1,323	2,294
Reclass:							
Titles	385		216	12		3	5
Volumes	654		302	14	1	20	6
Withdrawn:							
from DC	487		3	2			
from LC	952	23	15	11	29	98	23
Transferred							
Volumes	561		47	3	9	28	3
* Converted							
Titles	1,023	11	78	15	16	31	57
Volumes	1,382	9	126	19	73	59	93
Retrospective Conversion							
Titles	5,021	62	61	33	66	6	31

* Involves some cataloging changes making it necessary to order cards as opposed to next item, Retrospective Conversion, in which record is added as is.

Patt. Rm.	Photo Arc.	Ref. & Bibl.	Sch. of Mus.	Speed Sch.	Law Sch.	Total 1979/80	Total 1978/79	Change	% of Change
260	27	346	743	1,346	733	16,862	14,228	+2,634	+18.5
407	45	505	1,020	1,596	846	19,655	16,500	+3,155	+19.1
3	2	31	14	56	50	580	355	+ 225	+63.3
59	4	421	181	602	137	6,362	5,793	+ 569	+ 9.8
—	—	—	4	85	—	236	159	+ 77	+48.4
—	—	—	—	—	—	471	320	+ 151	+47.1
—	—	1	—	—	1	511	636	- 125	-19.6
—	—	—	—	—	—	0	29	- 29	-100.0
—	—	54	—	—	14	1,691	1,854	+ 163	+ 8.7
—	—	—	—	—	—	4,354	250	+4,104	+1641.6
263	29	378	757	1,402	784	18,189	15,378	+2,811	+18.2
466	49	926	1,205	2,283	983	26,488	22,613	+3,835	+16.9
7	—	2	170	11	1	812	3,732	-2,920	-78.2
17	3	22	237	32	23	1,331	5,013	-3,682	-73.4
7	—	—	—	—	—	499	3,354	-2,855	-85.1
451	—	45	2	6	41	1,716	1,093	+ 623	+57.0
5	—	43	61	35	6	801	2,445	-1,644	-67.2
18	3	30	63	16	16	1,377	914	+ 463	+50.6
35	40	83	143	51	34	2,147	1,970	+ 177	+ 8.9
—	—	—	—	—	—	—	—	—	—
138	0	184	2,244	4	0	7,850	1,073	+6,777	+631.5

TABLE II

Total Titles Added to the Public Catalog
Compared to Previous Year

	1979/80	1978/79	Change
Monographs	16,129	13,086	+3043 (+23.2%)
Serials	530	337	+ 193 (+57.2%)
Theses	236	159	+ 77 (+48.4%)
*Microtexts	510	636	- 126 (-19.8%)
*Law	783	1,160	- 377 (-32.5%)
*Health Sciences	1,400	1,956	- 556 (-28.4%)
TOTAL	19,588	17,334	+2254 (+13.0%)

*Includes monographs and serials for these collections

*Includes monographs and Serials for these collections.

TABLE III

Cumulative Volume Count of Total Collections in LC (Except Law and Health Sciences) as of July 1, 1980

Volumes in LC as of July 1, 1979	448,386
New volumes added in LC 1979/80	26,488
Volumes reclassified into LC 1979/80	1,331
TOTAL	476,205
Volumes withdrawn from LC in 1979/80	1,716
NET NOW IN LC	474,489

APPENDIX IV

University of Louisville Library Cataloging Department
Annual Report 1980/81

UNIVERSITY OF LOUISVILLE

LIBRARY

CATALOGING DEPARTMENT

ANNUAL REPORT

1980/81

David H. Michener
Head

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Summary of 1980/81 Cataloging Department Activities

The year was another busy one for Cataloging. AACR2, RetroCon, Dataphase, OCLC, and the Ekstrom Library, added to our usual cataloging responsibilities, kept the faculty and staff fully occupied.

There was a modest decline in the number of titles and volumes cataloged during 1980/81. Total titles cataloged was down 11% and total volumes were down 4%. However, there was no attendant growth in the cataloging backlog; indeed, there was a decline there too. The reduction in the number of items processed was due to the fact that significantly fewer items were received from the Acquisitions Department.

It was fortunate that the Department had less new cataloging to do during the year. We were able to devote more time to AACR2 and RetroCon.

January 2, 1981, was the official implementation date of the Anglo-American Cataloging Rules, 2nd edition (AACR2). The Department spent 1980 preparing for the new rules. A strategy was developed to integrate headings created by the new rules into our existing card catalog. Subsequently we learned that the majority of other libraries in the country had adopted similar approaches to the problem. After January 2 we began actually applying the rules and adjusting the catalog. The report of the Bibliographic Records Section shows the number of headings dealt with through June 1981. Over all, the transition to AACR2 has gone smoothly.

The smaller number of books coming from Acquisitions, especially in the latter half of the fiscal year, enabled us to divert more staff and terminal time to Retrospective Conversion. RetroCon is vital to the success of the automated circulation system which will go into operation in 1981/82. We made great strides forward in conversion, as the RetroCon Project report shows. Conversion will continue in the coming years to the extent that our resources permit, so that when the time comes for an online catalog we will be ready.

Both cataloging and conversion were seriously hampered during the year by frequent interruptions in service and miserable response time from OCLC. LC Catalogers and everyone else who used the terminals suffered hours of frustration and lost terminal time. A log of downtime was begun in April and reported monthly to SOLINET. OCLC has issued an apology to its users; the problem remains.

SOLINET costs proved to be lower than projected, largely due to the drop in acquisitions and our efforts to send converted records during the cheaper "non-prime" hours. Costs were, however, greater than the amount budgeted. The University persists in budgeting $32,000 for SOLINET each year, a figure which has been exceeded in reality since 1976/77. It is hoped that future budgets will reflect the true costs of our membership.

In May SOLINET announced a new schedule of charges for 1981/82. As expected, they are higher. First time use is up $.09 each, reclassification is up $.56, interlibrary loan is up $.39, etc. Only catalog cards remain the same price. Most painful are new charges for which we will receive nothing in return--an OCLC charge of $25 per month per terminal and a SOLINET charge of $60 per year per terminal. These charges are intended to raise revenue for the networks, not to provide additional services. We estimate that our total SOLINET expenses for 1981/82 will be 19% higher than 1980/81.

Planning for the move to the Ekstrom Library continued apace, with the Department Head and the Section Heads in attendance at numerious meetings reviewing requirements and specifications. Special mention should be made of the careful planning by Bibliographic Records Section for moving the public card catalog.

Budget cuts forced a reduction in student assistant hours in April. The Department managed to finish the year without serious problems despite the cuts. However, should the level of acquisitions and cataloging increase we may find ourselves falling behind in filing and other routine chores performed by students.

Significant events of 1980/81 included the following:
At the instigation of the Cataloging Department, and after consultation with several other departments, accession numbers were abandoned. The rationale was that the call number is sufficient as a unique identifier for each volume. The designation "c.1" on first copies of monographs was also dropped as unnecessary.

An inventory of the Dewey collection undertaken by the Circulation Department revealed a large number of ~~of~~ problems. These were speedily dealt with. See the report of the Shelflist Editor. A long list of missing volumes to be withdrawn is being processed.

The end of the Life Sciences Library as a separate collection was announced and departmental procedures were altered to reflect the change. Henceforward Life Sciences materials will be cataloged for the general stacks.

As part of a long-term project in collaboration with the Serials and Acquisitions Departments to rationalize serials records, the Serial Record File was split. For the moment it is divided into serials, periodicals, and monographic series authority records.

SOLINET

SOLINET Costs 1980/81

Dues		$ 200.00
Terminal maintenance		
Rate: $396.00 per terminal per year		
5 terminals x $396.00 (less 6% discount)		1,861.20
Telecommunications		
Rate:		
Leased telephone line	$150.00 per month	
Modem lease (2)	125.20	
Station terminator (2)	52.60	
	$327.80 per month	
Total charges including discount*		3,799.14
First time use charges (FTU)		
Rate:		
OCLC	$1.36 per use	
SOLINET	.28	
	$1.64 per use	
15,598 FTU's including discount*		24,163.60
First time updates (FUP)		
Rate:		
OCLC	$1.36 per use	
SOLINET	.28	
	$1.64 per use	
122 FUP's including discount*		190.15
Reclassification: FTU & FUP		
Rate:		
OCLC	$ .70	
SOLINET	.14	
	$ .84	
496 FTU's including discount*		389.06
1 FUP including discount		.80
Catalog cards		
Rate: $.042 per card		
169,258 cards including discount*		6,572.98

* Discount has varied during the year with 2 months at 3%, 5 months at 4½%, 5 months at 6%, and some charges at full rate.

SOLINET Costs (cont.)

Inter-Library loans		
Rate: $.95 per request		
1626 requests including discount		$ 1,482.30
Retrospective Conversion		
Rate:		
FTU: Prime time	$.60	
FTU: non Prime time	.05	
226 Prime		130.62
24,052 non Prime		1,153.81
Miscellaneous charges		
Retroactive tapes		252.35
TOTAL SOLINET COSTS		$40,196.01

PRE-CATALOGING SECTION

Section Head: Joyce McDonough; Library Assistant II: David Meyer.

There have been no full-time personnel changes in Pre-Cataloging this year. However, we have permanently relinquished all of our student hours to the Retrospective Conversion Project. The Planning Office's old area which Pre-Cataloging acquired last year is now being shared with Acquisitions. The terminal for the On-Line Acquisitions System, OLAS, is being housed there. The PR2's, low priority items, which had been housed in the Reynolds Building were brought back to the main library.

During this year Pre-Cataloging received 14,717 items from Acquisitions. Table 1 shows the distribution by Acquisitions status and origin. Pre-Cataloging has sent 15,202 items to Cataloging. Table 2 shows the distribution by status and language. Due to a change in our record keeping the outgoing figures do not include serials, added volumes, and book continuations for the first half of the year. The total figures for incoming and outgoing books represent an overall decline of 7-8% from the previous year.

At year's end there are 872 items in Pre-Cataloging's searching process. The items which need original cataloging have been split into two collections: Priority 0's and Backlog 0's. The 93 Priority 0's are those items which should be cataloged first. The 145 Backlog 0's are not urgently needed and are therefore waiting to be done as time allows. In addition there are 317 items to be searched in the National Union Catalogs.

There were 1407 items sent to the bindery for external processing. We do not record the number of items which are bound internally.

The bounce shelf, for problem books, continued to function well. 44% of the items placed on the bounce shelf were added copy problems. Name conflicts accounted for another 13%. 25% of the items placed on the bounce shelf had printouts which did not match the book. Almost 11% of the books on the bounce shelf were book continuations or added volumes that were not detected in pre-order searching. The remaining 7% were defective books or had discrepancies in the destination codes.

Some of the procedures in Pre-Cataloging had to be changed when OLAS was instituted, including the manner in which books are found. David files a green temporary slip in the on-order tub for those items which are not accessible on-line. There were the usual problems adjusting to a new system while maintaining the old one but nothing catastrophic occured.

After much discussion those involved agreed to differentiate between serial and monographic added volumes. The monographic added volumes are referred to as book continuations. The work forms, procedures, and statistics sheets were all revised accordingly.

During this year David split the Serial Record File into 3 parts: serials, series and periodicals. He also contributed many hours to the Retrospective Conversion Project by searching through the NUC's for LC copy, checking pink slips against the public catalog, and retrieving books from the stacks. When the occasion arises, David has been driving the library truck to make book pickups for Acquisitions.

The Head of Pre-Cataloging has continued to catalog all book continuations, slavic language materials, reinstatements, and some major microform collections.

The Scope Data printer has not been as much of a problem as it had been.

PRE-CATALOGING SECTION TABLE 1 1980/81

INCOMING BOOKS BY STATUS

OVERALL	50's	90's
TOTAL 14,717	TOTAL 8877=60.32%	TOTAL 2679=18.20%
C & E 2384=16.2%	C & E 690=7.77%	C & E 671=25.05%
BLANKET 4280=29.08%	BLANKET 3313=37.32%	BLANKET 403=15.04%
ORDERS 6261=42.54%	ORDERS 4201=47.32%	ORDERS 1069=39.90
SPEED 264=1.79%	SPEED 135=1.52%	SPEED 54=2.02%
MUSIC 495=3.36%	MUSIC 154=1.73%	MUSIC 127=4.74%
LAW 1033=7.02%	LAW 384=4.33%	LAW 355=13.25%
O's	BC's	AV's
TOTAL 1825=12.40%	TOTAL 116=.79%	TOTAL 270=1.83%
C & E 461=25.26%	C & E 2=1.72%	C & E 43=15.93%
BLANKET 459=25.15%	BLANKET 29=25.%	BLANKET 47=17.41%
ORDERS 618=33.86%	ORDERS 79=68.10%	ORDERS 116=42.96%
SPEED 35=1.92%	SPEED 1=.86%	SPEED 23=8.52%
MUSIC 77=4.22%	MUSIC 3=2.5%	MUSIC 32=11.85%
LAW 175=9.59%	LAW 2=1.72%	LAW 9=3.33%
AC's		
TOTAL 950=6.46%		
C & E 517=54.42%		
BLANKET 29=3.05%		
ORDERS 178=18.74%		
SPEED 16=.11%		
MUSIC 102=10.74%		
LAW 108=11.37%		

PRE-CATALOGING SECTION TABLE 1 (cont.)

PERCENTAGE OF SECTION'S BY STATUS

50's	90's	0's
G & E 690=28.94%	G & E 671=28.15%	G & E 461=19.34%
BLANKET 3313=77.41%	BLANKET 403=9.42%	BLANKET 459=10.72%
ORDERS 4201=67.1%	ORDERS 1069=17.07%	ORDERS 618=9.87%
SPEED 135=51.14%	SPEED 54=20.45%	SPEED 35=13.26%
MUSIC 154=31.11%	MUSIC 127=25.66%	MUSIC 77=15.56%
LAW 384=37.17%	LAW 355=34.37%	LAW 175=16.94%

BC's	AV's	AC's
G & E 2=.08%	G & E 43=1.80%	G & E 517=21.69%
BLANKET 29=.68%	BLANKET 47=1.1%	BLANKET 29=.68%
ORDERS 79=1.26%	ORDERS 116=1.85%	ORDERS 178=2.84%
SPEED 1=.38%	SPEED 23=8.71%	SPEED 16=6.06%
MUSIC 3=.61%	MUSIC 32=6.46%	MUSIC 102=20.61%
LAW 2=.19%	LAW 9=.87%	LAW 108=10.45%

PRE-CATALOGING SECTION

TABLE 2 1980/81

OUTGOING LANGUAGES

TOTAL: 14,113

ENG: 12,712=90.07%

FRE: 378=2.68%

GER: 315=2.23%

ITA: 225=1.59%

SPA: 414=2.94%

OTH: 72=.51%

ORIGINALS & BOOK CONTINS

TOTAL: 4512

ENG: 3581=79.37%

FRE: 275=6.09%

GER: 232=5.14%

ITA: 85=1.88%

SPA: 290=6.43%

OTH: 49=1.09%

LC I & LC II

TOTAL: 9601

ENG: 9131=95.10%

FRE: 103=1.07%

GER: 83=.86%

ITA: 140=1.45%

SPA: 124=1.29%

OTH: 23=.24%

BREAKDOWN

TOTAL: 15,202

LCI: 4297=28.27%

LCII: 5304=38.89%

LCIII: 422=2.78%

090: 2958=19.46%

090E: 629=4.14%

0: 417=2.74%

OE: 12=.08%

BC: 74=.49%

AC: 831=5.47%

ALL ORIG: 4438=29.19%

SERIALS: 258=1.7%

LC CATALOGING SECTION

Section Head: Thomas Lehman; LCC I: Martha Akers, Eleanor Bishop (shelflister), Linda Kimmel; LCC II: Brenda Frank, Kevin Millham, Adela Trigo de Serrano.

The LC Cataloging Section was quite fortunate to find an experienced LC Cataloger to fill the position that has been vacant since July 30, 1980. Linda Kimmel, who had previously worked at the University of Akron, joined the department September 29, 1980.

The Section has been devoting as much time as possible to converting previously cataloged records into machine-readable form in order to facilitate operation of the new online circulation system, which is due to start working late this year or early next year. The more records that can be converted before patrons begin using the system, the smoother the start up period will be. Ruth Atwood, head of the Systems and Development Office, was able to find some money to fund conversion by LC catalogers on an overtime basis.

The Section was able to take the long-awaited changeover to AACR2, officially implemented January 2, 1981, in stride. The new rules for entry have required the implementation of new procedures for conversion, and also for series checking, as new changed series are now established locally according tc the new rules.

OCLC response time during the first months of 1981 was extrordinarily bad, with many periods when the OCLC system was totally unavailable. LC catalogers began keeping a log of system problems in order to document the situation, and the results confirmed in dramatic fashion what we had known all along. Between April 8 (when record keeping began) and June 30, 1981, the OCLC system was totally unavailable for 78 hours. That is a loss of nearly one month's terminal time for one LCC. This does not take into account those extended periods when the system was slow, but working. Copies of the the logs are being sent to OCLC and Solinet. Fortunately, response time has improved somewhat recently, although it is still not what we would like it to be.

Next year promises to be an exciting and challenging one, as we move into our new and larger quarters in the Ekstrom Library, and begin inputting records directly into the new online circulation system.

SERIALS SECTION

Jane Graves, Head; Ruth Holman, Library Assistant III; Jean Black, Library Assistant II.

This Section seems to be the one of the hardest hit by AACR II because of the successive entry rule for serials and also the choice of entry - whether it is a title entry or a corporate entry. We are still cataloging from current issue. All of these things take more time for an understaffed section because of all the extra searching that has to be done.

In the spring we began to order two extra catalog cards as our method of reporting to "New Serial Titles" and "Chem Abstracts" instead of reporting on the slips that had been furnished by the Library of Congress. We still mail in the reports to Library of Congress and in January took over from Serials Department the mailing of the reports in schedules Q, R, S, T, U, V to "Chemical Abstracts."

As a result of the inventory done by Circulation, several serial volumes were either withdrawn, reclassed or reinstated.

We cataloged 623 new serial titles with a total volume count of 1,484. For the Law School Library we converted 178 monographic titles into 78 serial titles. This involves a 3-way shelf list comparison and pulling the correct shelf list and public catalog cards in addition to making new holdings cards for Law School. Other statistics include 187 title conversions to OCLC for which new cards were ordered, 90 retrospective title conversions, 22 reclassed titles and 17 new microtext titles. Conversion, retrospective conversion and reclassification require the same detailed history as new titles. Total added volumes were 5,494 and 35 added copies. Total withdrawn volumes were 1,068 and total transferred volumes were 307. Noting location of transferred volumes in three catalogs consumes an enormous amount of time. We also transferred 29 reels of microfilm to Government Documents.

In September of 1980, Graves attended a general workshop on AACR II and in February of 1981, both Graves and Holman attended a SOLINET workshop on AACR II for serials catalogers.

ORIGINAL CATALOGING

Catalogers: Janice Platt, Tyler Miller

The professional catalogers cataloged all monographs for which there was no Library of Congress MARC copy, except for Cyrillic materials which were handled by Joyce McDonough, and some music and Spanish items done by Tom Lehman. As in previous years Janice Platt cataloged Germanic language books while Tyler Miller dealt with Romance language items. As to subject specialization, the two original catalogers divided the whole of human knowledge between them. Ms. Platt cataloged social sciences, Law Library, and Speed School materials. Ms. Miller cataloged humanities, Art Library, Life Sciences, and Natural Sciences books.

Having studied the new cataloging rules and attended several workshops on the subject, the original catalogers were well prepared for AACR2. Immediately upon its implementation in January they began to apply its provisions. They set up new name and series headings in AACR2 form and advised the Bibliographic Records Section on changes to existing headings. They worked particularly hard on the vexing issue of monographic series tracings, determining those which required all records to be changed and those which could be split into two files in the public catalog.

Tyler Miller cataloged well over a hundred "artist's books" as a special project for the Art Library.

Jan Platt made good progress in her inventory of the Library's collection of World War I and World War II posters.

BIBLIOGRAPHICAL RECORDS SECTION

Gopala Kyneni, Head. Author/Title Catalog editing, updating, and maintenance of authority files: Carolyn Hohmann; Subject catalog editing and updating: Erlinda Paguio; Revision one half of author/title catalog, transfers, withdrawals, shelf list editing, call number corrections, updating archival tape, and some conversions: Carol Honaker; OCLC card processing: Jerryne Stithem; Assistants: Marie Henry, Martha Warkentin.

The major event this past year affecting everyone, and in particular the maintenance of bibliographical records, was the implementation of AACR2 in January. Strategies were worked out, in conjunction with the department head, for identification, verification, and integration of the new name and series forms with the existing ones. Our main concern in the prescription of solutions, which differ from situation to situation, was that of least inconvenience to patrons, avoiding split files in as much as possible, and maintaining bibliographic uniformity of the departmental and branch library catalogs with that of the union catalog.

Corporate bodies and series entries presented a much bigger problem than personal names, as had been anticipated. The whole process is so complex and time consuming that no standard solution can be automatically adopted for all situations. LC's online name authority file is of some help in resolving problems, but it is neither up to date nor completely reliable. Thanks are due to BRS staff for an excellent job done, both qualitatively and quantitatively, especially in regard to AACR2 corrections.

Other major projects in this Section completed during the past year included:

Cards and labels of 1,152 catalog trays were switched in preparation for the arrangement of the catalogs in the new building.

Problems arising from the inventory of the Dewey collection and involving more than 1,500 volumes were resolved.

More than 800 drawers of the subject catalog were edited systematically to change headings with geographic subdivisions from "direct" to "indirect".

We were fortunate in not losing any permanent staff time in 1980/81. Student hours were, however, cut from 65 to 45 hours per week.

Detailed activities and statistics of each unit of the Section are attached.

AUTHOR/TITLE CATALOG

Carolyn Hohmann, Author/Title Catalog Editor

Statistics for corrections and changes to the author/title catalog, both the usual ones and those brought on by AACR2, are on the following page.

In addition to making or overseeing the changes, the Editor drew up detailed plans for the arrangement of the public card catalog in the Ekstrom Library and, assisted by Jerryne Stithem, made drawer and label changes to 16 units (72 drawers each) of the catalog in preparation for the move. She assisted the Multimedia Department in setting up a card catalog. The monthly statistics report form was revised to include AACR2 changes. One person was trained for the Library Assistant I position during the year.

AUTHOR-TITLE CATALOG
Statistics for 1980/81

Discrepancies resolved:	830
Sets corrected:	1971
References added or corrected:	4059
OCLC cards corrected:	1550
Series Authority cards added:	1424
Music School cards for scores filed:	258
Music School cards for recordings, tapes, etc. filed:	672
Health Sciences cards filed:	1139
Health Sciences cards adjusted:	521

AACR2 Statistics (not included in the above)

	Names	Series
Discrepancies resolved:	351	34
Corrected:	210	32
Interfiled:	137	--
Split filed:	4	2
Sets corrected	1967 (includes series)	
Guide cards added	150 (includes series)	
References added:	1862 (includes series)	
Cards Xeroxed:	95 (includes series)	

SUBJECT CATALOG

Erlinda Paguio, Subject Catalog Editor

Changes from Direct to Indirect subdivision continued to be made in the Subject Catalog. Drawers 252-1080 were corrected. A number of subject headings were also changed this year. The most notable of them are the following:

Headings beginning with the word Fresh-water to Freshwater
Bantu Homelands, South Africa to Homelands, South Africa
Names of ethnic groups of the type ⌜Name⌝ (African tribe) to ⌜Name⌝ (African people)
Rhodesia, Southern to Zimbabwe
Pennsylvania Germans to Pennsylvania Dutch
Scotch to Scots
Icelandic and Norse Language to Old Norse Language
Icelandic and Norse Literature, ⌜Philology⌝ to Old Norse Literature, ⌜Philology⌝
Icelandic languages, Modern to Icelandic language
Malay race to Malays (Asian people)
Congo language to Kongo language
Central African Empire to Central African Republic
Phenicians to Phoenicians
Matabele to Ndebele (African people)
Physiological chemistry to Biological chemistry ⌜an existing heading⌝
Commercial travellers to Travelling sales personnel
Motor-trucks to Trucks
Longshoremen to Stevedores
Geographical distribution of animals and plants to Biogeography
Testicle to Testis
Vanes to Weather vanes
Stockranges to Rangelands
Caisson-diseases to Decompression sickness
Buddhist doctrines to Buddhism--Doctrines
Metal painting to Metals--Painting
Termite control to Termites--Control
Glyceride metabolism to Glycerides--Metabolism
Phrase headings of the type ⌜class of handicapped persons⌝, Books for to ⌜Class of handicapped persons⌝--Books and reading, e.g., Blind, Books for to Blind--Books and reading
Phrase headings of the type Alcohol and ⌜class of persons⌝ to ⌜class of persons⌝--Alcohol use, e.g., Alcohol and children to Children--Alcohol use

This unit's student hours were cut down from 21 to 18. Work that should be done by students for three hours weekly has been absorbed or is being done by Mrs. Henry and Miss Paguio, i.e., some alphabetizing of subject cards and guide cards, and the filing of pink temps and pulling out of corresponding author and shelf list cards. Filing in the subject catalog has necessarily slowed down, but not to the extent that it has inconvenienced anyone yet.

SUBJECT CATALOG

Statistics for 1980/81

Cards changed	3,719
References made and traced	1,673
See also notes added	56
Obsolete references withdrawn	297
New subjects added	11,578
New scope notes added	44

SHELFLIST

Carol Honaker, Shelflist Editor

The Editor's major project of the year began in December and was nearly completed by the end of June. It involved solving problems resulting from the Circulation Department's inventory of the Dewey collection. Following is a list of the number of problem volumes handled by classification;

000	1	500	63
100	103	600	207
200	46	700	93
300	657	800	326
400	0	900	16

Total : 1512

In January, after completing the 800's, the Editor made a list of the various types of problems encountered. See the following page. The other classifications followed a similar pattern.

Other statistics:

Titles withdrawn from Dewey	72
Titles withdrawn from LC	794
Volumes withdrawn from Dewey	150
Volumes withdrawn from LC	1090
Shelflist problems investigated	135

JANUARY, 1981 COMMENTS:

The Circulation Department completed its inventory of the Dewey 800's. Of the 318 problem volumes given to me, 315 have been corrected. Following is a list of the various types of problems encountered and the number of volumes affected:

84 had incorrect spine labels
13 had illegible spine labels
3 lacked spine labels
1 lacked a title page call number

5 had incorrect call numbers on the card sets
3 had incorrect call numbers on the shelflist cards only
5 lacked shelflist cards (dups were typed from the main entry cards)
2 had misfiled shelflist cards
2 had reversed shelflist and main entry cards
6 had no volume numbers or accession numbers on the shelflist cards

1 belonged in Bingham
1 belonged to Bellarmine College

37 were previously withdrawn and remain so
39 were withdrawn from Dewey (13 titles)
2 were previously withdrawn but were given to serials to reclassify
52 were given to JGM to reinstate and reclassify
5 were reinstated in Dewey

35 were added as extra volumes/copies to existing LC records:
-- 18 had previously been withdrawn
-- 4 had no existing Dewey records
-- 1 had been declared lost
-- 12 were missing at the time of reclassification

2 had no Dewey records and were stamped withdrawn
3 are to be reclassified
1 was converted
15 actually had no problems and were reshelved

SHELF PREPARATION SECTION

Mary Webb, Supervisor; Ben King, Library Assistant I; Vanessa Capps, Library Aide (half-time).

The 1980/81 fiscal year involved changes in personnel as well as work routines for the Section. April 30, 1981 Beverly Lacefield, part-time assistant, who had been with us for three years, resigned. We replaced Beverly with a former student worker, Vanessa Capps, on June 1. Our work routines have been reconstructed to comply with the LC Catalogers and the OCLC terminals. We have a controlled work pattern in which the books are usually processed on a day-after basis, with revision and circulation one week later, as the OCLC cards come in.

Statistically speaking, this system seems to be productive. Our overall book count seems to be down, however, this is partially due to conversion project, funding, lack of terminal operators and maybe the anticipated move into our new library. Our statistics are appended.

We have gradually made changes during the year. As of October 1980, we dropped the copy one from the book labels. Also, accession numbers have been dropped from all books except Law School. Life Sciences Library is now being integrated into General Library, thus eliminating cards and pockets for these books. All excess gift plates in storage were discarded this year, although a copy of each has been sent to University Archives. All of these changes seem to be eliminating the old system of too much work one day and none the next. Hopefully, the changes are leading toward a very productive operation in the future of our new library.

Again I must compliment my co-workers for their good work and cooperation.

Cataloguing, p.21

YEARLY REPORT: JULY 1, 1980-JUNE 1, 1981

MONTH	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY	JUNE	TOTALS
Book Count	1173	1983	1233	2177	1113	836	1640	1431	1800	1578	1788	1345	18,097
Gift Plates	135	207	214	291	206	119	186	75	108	133	120	61	1.974
Cards & Pockets	301	408	277	238	167	140	304	178	233	188	122	145	2,802
Pam Bind Labels	96	161	117	106	69	36	113	82	107	75	82	124	1,168
Micro-fiche	459	1	1	3	10		1		3				478
Corrections	30	10	1	2		1	90	23	27	93	30	112	419
Mending Books	49	32	53	114	58	52	12	15	117	47	80	19	290
Rush Books	28	63	48	74	48	37	63	25	62	90	74	50	662
Serials & Periodicals	247	271	237	248	112	138	132	235	308	215	222	155	2,520
Thesis	166	36	32	12	14	9	80			22			362
Transfers	36	2	24	18	15	2	12	17	2	16	29	10	160
Microfilm	20	25	136	15	1				10	4		8	221
Tape Cassettes												13	13
Avery Mem. Arch. Lib.										19			19
House of Commons Sessional Papers										147			147

RETROSPECTIVE CONVERSION PROJECT

Supervisor: Ruth Field

Titles converted

In this our first full year of the RetroCon Project a total of 29,865 titles was converted of which 970, or 3.25% were original input. Adding the 687 titles done in other sections of the department when books were transferred, copies added, etc., and the 325 titles re-classified and converted, we are 30,877 titles nearer to having the library's pre-OCLC collection in machine-readable form.

Personnel

Because of the dearth of new books, 5 LC catalogers could be scheduled to spend 2 hours daily (increased to 2.5 in June) on conversion. Also the project supervisor was scheduled 3 to 4 hours daily chiefly to input those records which were not already in the database. Pre-cataloging staff helped out now and then. Dave Meyer searched for LC copy for much of our original input.

The Circulation Department generously donated half of a staff member's time (Stephen Brown) for about 5 weeks beginning April 6. Although terminal hours are always at a premium, he was able to do some simple conversion evenings and Saturdays and was very helpful with other support project activities. His assistance freed Eleanor Bishop for an hour or so a day for conversion.

In June Mrs. Atwood "found" some money in the automated circulation budget and present trained staff were given the opportunity to work some overtime hours. Thanks to Carol Honaker, Adela Trigo de Serrano, and Sally Selmer of the Reference Department 83.25 Saturday and evening hours were added to conversion.

Hours and input rates per hour

Terminal hours devoted to RetroCon totalled 2321.75, 29,865 titles were converted, an average of 12.86 titles converted per terminal hour. This figure, of course, combines original input, which is done at the rate of about 4 an hour, and MARC matching records which may be converted as fast as 24 per hour.

Completion of Shelf List copying

At the beginning of the year 85 drawers of the L.C. Shelf List remained to be copied from the big 1979/80 photo copying project. This remainder was done more slowly as our students had time. Highlights of this period were: Oct. 1, the last Shelf List drawer was separated (OCLC cards from LC cards) Oct. 24, the last Shelf List drawer was copied. Nov. 14, the last Shelf List drawer was re-assembled. Dec. 3, the last box of conversion slips was sent to Circulation. The completed LC conversion file filled 111 boxes containing approximately 206,750 titles to be converted.

The Dewey conversion file, done earlier, remains in the Cataloging Department. Twelve of the 72 boxes have had LC classification numbers typed on them, the first step in reclassification/conversion.

Conversion priority

We began getting some conversion slips from Circulation in November and by January 22 we were getting them on a regular basis. Slips are returned to RetroCon when the corresponding book circulates. Thus we are doing most used items first. So far we have experienced no difficulty in keeping up.

The total number of conversion slips received from Circulation November-June was 14,568 for an average of 1821 per month. Since our monthly conversion average was somewhat higher, 2489, we were able to do in addition groups of slips selected from known high use areas, in particular H and P. Recently we received slips representing the year's circulation of the Natural Science and Life Sciences libraries.

Network RetroCon cost

The Solinet bill for RetroCon for the year was $1284.43.

The above figure divided by 30,552 titles (29,865 RetroCon plus 687 other) gives a cost of $.042 per title converted.

RetroCon costs were levied for the first time beginning Sept. 1, the rate being $.60 per title during prime time (9 a.m. - 4 p.m. weekdays) and $.05 per title during non prime time (7-9 a.m., 4-10 p.m. weekdays and all day Saturday) Non prime time costs are due to advance to $.10 on July 1 and $.15 on January 1.

Looking ahead

Since we operate almost exclusively on charity, it can be depressing to look ahead and impossible to plan. If and when normal acquisitions resume, our personnel could disappear entirely.

At this time last year we made the gloomy prediction that to complete RetroCon would require 11.7 years. Now the picture looks something like this:

275,000 titles remaining to be done as of July 1, 1980 (figure based originally on educated guess and may be high)
30,877 total done in 1980/81
244,123 remaining to be done as of July 1, 1981 (includes Dewey)

At present rate of conversion:

244,123 - 30,877 = 7.9 years

At rate achieved last month of year with a little extra boost:

244,123 - (12 x 4206) = 4.8 years

It would appear that people are realizing more and more the necessity of complete conversion. Richard De Gennaro sums it up very well in a recent Library Journal article (May 15, 1981):

"The single most important thing libraries can do to improve management, hasten automation and reduce the expense and difficulties of maintaining paralled manual and machine systems is to convert their retrospective catalogs to machine readable form and consolidate all their bibliographic records into a single integrated system. Libraries cannot take full advantage of automation until they can implement integrated systems and they cannot have integrated systems while a substantial portion of their records are on cards in traditional catalogs."

RETROSPECTIVE CONVERSION PROJECT, 1980/81

Titles converted

By Library

General	26,526	Natural Sci	107
AfroAmer	340	Patterson	534
Art	69	Reference	113
Bingham	492	Music	1,262
College	161	Speed	32
Life Sci	229		

By classification

A	21	M	1,399
B	1,572	N	144
C	108	P	9,219
D	969	Q	874
E	631	R	458
F	265	S	189
G	377	T	263
H	11,334	U	120
J	568	V	24
K	219	Z	120
L	991		

Total titles converted 29,865

TITLES PUT INTO MACHINE READABLE FORM 1975/1979 - 1980/1981

1976/76

		Cumulative total
new titles	14,614	
reclassified	1,393	
converted	4	
		16,011

1976/77

new titles	15,959	
reclassified	6,940	
converted	291	
		23,290

1977/78

new titles	15,620	
reclassified	3,642	
converted	1,562	
		20,824

1978/79

new titles	15,378	
reclassified	3,732	
converted	914	
pilot RetroCon Project	1,072	
		21,096

1979/80

new titles	18,189	
reclassified	812	
converted	1,377	
RetroCon project	7,850	
		28,228

1980/81

new titles	16,477	
reclassified	325	
converted	687	
RetroCon project	29,865	
		47,354
TOTAL		156,803

Personnel Information (1980/81)

NAME AND POSITION	RESIGNED OR TRANSFERRED	REPLACED BY	DATE	TIME LAPSE
Brown LC Cat. I	6/30/80	Kimmel	9/29/80	41 days
Lacefield Library Aide	5/1/81	Capps	6/2 81	21 days

Support staff

Vacancies - - 62 days
Leave without pay - -269.50 hrs. (35.9 days)
Sick leave - - 1289.25 hrs. (171.9 days)
Administrative leave - - 346.25 hrs. (46.17 days)

Student Assistants -	Library payroll	4794.0	hrs.
	Work Study	562.5	
	Total	5356.5	hrs.

ACTIVITIES OF CATALOGING DEPARTMENT MEMBERS

Jean Black

Courses taken: Mass communication

Ruth Field

Committees: Academic Planning Committee, Operations Subcommittee; CLF Constitution and Bylaws Committee
Memberships: ALA, Ohio Valley Group of Technical Services Librarians; AAUP; Kentucky SOLINET Users Group
Workshops: AACR2 Workshop, JCC/UK, Louisville, Sept. 1980

Brenda Frank

Courses taken: College Algebra and Trigonometry
Committees: Library Association Nominations Committee
Memberships: Kentucky SOLINET Users Group
Meetings: KSUG, Louisville, Oct. 1980; KSUG, Frankfort, May 1981 (coordinator, Terminal Operators Discussion Group at the latter meeting)

Jane Graves

Committees: Transfer and Withdrawal; Professional Travel (alternate); Library Association Staff Lounge Committee (chair)
Memberships: ALA; KLA; SELA; AAUP; Ohio Valley Group of Technical Services Librarians; etc.
Workshops: AACR2 Workshop, JCC/UK, Louisville, Sept. 1980; AACR2 Tagging Workshop, Lexington, Dec. 1980

Carolyn Hohmann

Committees: Library Association Social Committee
Elected Treasurer of the Library Association for 1981/82

Ruth Holman

Committees: Library Association Staff Lounge Committee; Library Association Social Committee

Tom Lehman

Committees: Personnel Committee; Professional Travel Committee
Memberships: Kentucky SOLINET Users Group (Secretary)
Meetings: KSUG, Lexington, July 1980, Louisville, Oct. 1980, Frankfort, May 1981; KSUG Program Committee, Northern Kentucky University, Feb. 1981; KLA Academic Section, Louisville, Apr. 1981

Joyce G. McDonough

University Libraries Faculty Senator
Committees: CUL Professional travel Committee; ULF Economic Welfare Committee (chair); KLA Intellectual Freedom Committee (chair); U of L Library Associates (Board of Directors)
Memberships: ALA; KLA; SELA; AAUP; U of L Library Associates (attended meetings of all)
Courses taken: Elementary Statistics 109; Calculus and Analytic Geometry 205
Workshops: AACR2; Librarians as Program Planners

David Meyer

Committees: Staff Cabinet
Awards: 3rd place, Thinker poetry contest

David Michener

Committees: Computer Applications; Planning Council; Academic Planning Committee, Information and Operations Subcommittees; Committee on the Improvement of Teaching
Memberships: ALA; Kentucky SOLINET Users Group
Meetings: SOLINET annual meeting, Atlanta, May 1981; SOLINET special meeting, Atlanta, Dec. 1980; African Studies Association, Philadelphia, Oct. 1980; African Studies Archives/Libraries Committee, Michigan State University, Apr. 1981; KSUG, Lexington, July 1980, Frankfort, May 1981; KSUG Program Committee, Northern Kentucky University, Feb. 1981; KLA Academic Section, Louisville, Apr. 1981 (member of panel on AACR2
Workshops: AACR2 Workshop, JCC/UK, Louisville, Sept. 1980

Tyler Miller

Committees: CLF Constitution and Bylaws; ULF Committee on Committees; Committee for Conservation of Materials
Courses taken: Italian 201, 202
Meetings: KLA, Louisville, Oct. 1980; KLA Academic Section Louisville, Apr. 1981; ALA Midwinter, Washington, Jan. 1981; KSUG, Louisville, Oct. 1980, Frankfort, May 1981 (coordinator of discussion group at the latter meeting); SAALCK Cataloging Committee, Louisville, Oct. 1980; Ohio Valley Group of Technical Services Librarians, Cincinnati, Apr. 1981
Memberships: ALA; KLA; Kentucky SOLINET Users Group; AAUP
Workshops: U of L Conservation Workshop, Nov. 1980; AACR2 Tagging Workshop, Lexington, Dec. 1980; KLA Workshop on Librarians as Authors, Louisville, Apr. 1981
Served on planning committee and took care of registration for AAUP conference, Louisville, May 1981
Secretary of Library Association

Kevin Millham

Courses taken: Finite Mathematics; Applied Technical Math I

Gopala Myneni

Committees: CUL Economic Welfare Committee
Memberships: KLA; Kentucky SOLINET Users Group; Kentucky Philosophical Association
Meetings: Meetings of the above; AAUP Conference, Louisville, Mar. 1981
Workshops: AACR2 Workshop, JCC/UK, Louisville, Sept. 1980

Erlinda Paguio

Memberships: American Historical Association; African Studies Association
Courses taken: Visual Impairment and Visual Functioning; Education of the Visually Impaired
Lecturer (part-time) in African history, University of Louisville
Book reviewer for Library journal
Visited the offices of Otto Harrasowitz, Bookdealers, Wiesbaden, West Germany, June 1981

Janice Platt

Committees: Committee on Improvement of Teaching (chair); ULF Grievance Committee; Library Association Social Committee (chair)
Courses taken: Stellar Astronomy; German of Today
Memberships: ALA; AAUP; Kentucky SOLINET Users Group; Ohio Valley Group of Technical Services Librarians
Meetings: KSUG, Louisville, Oct. 1980, Frankfort, May 1981; OVGTSL, Cincinnati, Apr. 1981; AAUP fall meeting, Oct. 1980
Workshops: AACR2 Tagging Workshop, Lexington, Dec. 1980
Served on planning committee for AAUP conference, Louisville, Apr. 1981
Parliamentarian, Central University Libraries Faculty

Adela Trigo de Serrano

Committees: Library Association Social Committee

Mary Webb

Committees: Staff Senate Credentials Committee

Nancy Weisiger

Committees: Staff Senate Credentials Committee; Parking, Planning and Policy Committee

Summary of All New Cataloging, Reclassification, Withdrawals, Transfers, and Conversions to OCLC Done in Cataloging Department, 1980/1981

	Central Library	Afro-Amer. Lib.	Art Lib.	Bing. Poet. Rm.	Coll. Lib.	Life Sci. Lib.	Nat. Sci. Lib.
Monographs:							
Titles	9,926	143	1,175	154	6	400	853
Volumes	11,125	153	1,304	155	15	457	1,085
Serials:							
Titles	288	1	35			24	57
Volumes	2,678	1	397	2	43	640	1,515
Theses:							
Titles	278						
Volumes	358		8			2	17
Microforms:							
Titles	49		3				
Cards							
Fiche	591		15				
Reels	3,230		15				
TOTAL TITLES CATALOGED	10,541	144	1,213	154	6	424	910
TOTAL VOLUMES CATALOGED	14,161	154	1,709	157	58	1,099	2,617
Reclass:							
Titles	248	25	42	5	1		5
Volumes	608	48	53	5	2	1	9
Withdrawn Vols:							
from DC	1,086		3				
from LC	1,131	36	68	3		16	34
Transferred							
Volumes	295	4	33	3	34	8	280
* Converted							
Titles	496	4	51	4	11	26	29
Volumes	671	6	54	5	74	74	19
Retrospective Conversion							
Titles	26,526 ~~26,517~~	340	61 ~~68~~	492	161	229	~~104~~ 107

* Involves some cataloging changes making it necessary to order cards as opposed to next item, Retrospective Conversion, in which record is added as is.

Patt. Rm.	Photo Arc.	Ref. & Bibl.	Sch. of Mus.	Speed Sch.	Law Sch.	Total 1980/81	Total 1979/80	Change	% of Change
215	71	415	536	376	881	15,151	16,862	- 1,711	- 10.1
430	81	663	779	450	1,097	17,794	19,655	- 1,861	- 9.4
5	1	33	21	91	67	623	580	+ 43	+ 7.4
46	11	524	178	794	185	7,014	6,362	+ 652	+ 10.2
						278	236	+ 42	+ 17.8
			6	167		558	471	+ 87	+ 18.4
	2	3	3			60	511	- 451	- 88.2
		14	3			623	1,691	- 1,068	- 63.1
	240		2			3,487	4,354	- 867	- 19.9
220	74	451	560	467	948	16,112	18,189	- 2,077	- 11.4
476	92	1,187	963	1,411	1,282	25,366	26,488	- 1,122	- 4.2
10			21	6	1	364	812	- 448	- 55.1
20	1		30	69	10	856	1,331	- 475	- 35.6
					12	1,101	499	+ 602	+120.6
27		78	17	63	89	1,561	1,716	- 155	- 9.0
29	10	74	34	11	17	550	801	- 251	- 31.3
38	5	40	36	33		773	1,377	- 604	- 43.8
43	2	73	55	12		1,088	2,147	- 1,059	- 49.3
~~534~~	~~113~~	~~1,262~~	~~37~~	32	—	~~29,852~~	7,850	~~+22,002~~	~~+280.2~~
	0	113	11262			29.865		+22,015	+280.4

TABLE II

Total Titles Added to the Public Catalog
Compared to Previous Year

	1980/81	1979/80	
Monographs	14,270	16,129	-1859 (-11.5%)
Serials	623	580	+ 43 (+ 7.4%)
Theses	278	236	+ 42 (+17.8%)
*Microtexts	60	510	- 450 (-88.2%)
*Law	881	783	+ 98 (+12.5%)
*Health Sciences	1,139	1,400	- 261 (18.6%)
TOTAL	17,251	19,638	-2387 (-12.1%)

*Includes monographs and Serials for these collections.

TABLE III

Cumulative Volume Count of Total Collections in LC (Except Law and Health Sciences) as of July 1, 1981

Volumes in LC as of July 1, 1980	474,489
New volumes added in LC 1980/81	25,366
Volumes reclassified into LC 1980/81	856
TOTAL	500,711
Volumes withdrawn from LC in 1980/81	1,561
NET NOW IN LC	499,150

APPENDIX V

University of Louisville Library Cataloging Department
Annual Report 1981/82

UNIVERSITY OF LOUISVILLE

LIBRARY

CATALOGING DEPARTMENT

ANNUAL REPORT

1981/82

David H. Michener

Head

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Summary of 1981/82 Cataloging Department Activities

The Cataloging Department completed the 1981/82 report year with its usual steadiness and competence. The faculty and staff are to be commended for their industriousness and adaptability in a year of change.

Much of August and September 1981 were consumed in the process of moving all Cataloging operations to the new Ekstrom Library. Members of the Department worked very hard in making the transition a smooth one. The Bibliographic Records Section did a particularly fine job in moving the entire public card catalog to its new location without a hitch. The many problems associated with furniture and telephones in our new area were largely solved within a few months, and we are now comfortable in our roomy new quarters.

OCLC showed some improvement in service during 1981/82. Periods of downtime and poor response time were still a source of irritation, but not as great as in past years. We look forward to further improvements which have been promised as a first priority by OCLC.

Cataloging has been familiar with OCLC for years. 1981/82 saw the introduction of two other computerized systems in the Department. Dataphase and LAMBDA made very clear to us the need for development of uniformity in operation and command language for the various automated bibliographic systems which are growing up around the country. As it was, terminal operators had to learn new procedures for each system. They did a fine job of adapting to them.

Dataphase was introduced in the fall with the installation of a terminal in the Shelf Preparation Section. LC Catalogers implemented new procedures to transfer new cataloging records into Dataphase via an interface attached to one of our OCLC terminals. Shelf Preparation staff took on the responsibility for inserting OCR labels in new books and adding the OCR numbers to Dataphase records. Although these new duties further increased the complexity of our operations and reduced the time available for our other responsibilities, the Department adjusted to them very well. Cataloging is doing its best to make the circulation system a success.

In December the Library was invited to participate in a test of LAMBDA, a database maintenance and reference support system developed by SOLINET. The test was an opportunity to have our bibliographic records flipped to AACR2 form, to update our records via an online authority file, and to gain experience with a nascent online catalog. Two of our OCLC terminals were connected to LAMBDA and we began using the system in March. During the test period, we were able to process the vast majority of thousands of corrections and changes we had been deferring. We also had ample opportunity to learn the advantages and deficiencies of the system.

The projected cost of LAMBDA, coupled with the strain it imposed on staff and terminal time, forced Cataloging to recommend withdrawal from the system on August 10, 1982. However, we retain our option to rejoin LAMBDA if we wish.

Our file of machine-readable records is in far better shape than before the test, and hands-on experience with an online catalog will be very valuable in future planning.

There was an 11% decline in the number of new books received by the Department for cataloging. This, together with the hiatus in production caused by our move to the new building, resulted in a 20% reduction in the number of new titles cataloged compared to last year. Because of the slackening in the flow of new materials to catalog, the Department was able to devote more time to reclassifying and converting books from the Dewey collection. Almost 3,500 titles were reclassified, an increase of 850% over the previous year.

Despite the increase in reclassifications, a worrisome backlog of Dewey items to be reclassified has developed. In preparation for Dataphase, the Circulation Department began sending us each Dewey book which circulated. The lack of time, especially at the professional level, has caused us to fall behind in processing these books. In the year to come, we may have to cut back in other areas in order to attack the reclass backlog. It is hard to imagine what these other areas might be.

The Retrospective Conversion Project continued apace, converting over 23,000 titles to machine-readable form. Shortages of staff and terminal time prevented the Project from repeating the remarkable total of conversions achieved in 1980/81, but its progress was still impressive. At the end of 1981/82, the Library had 197,307 bibliographic records fully computerized.

SOLINET

SOLINET Costs 1981/82

Annual Dues	$ 350.00
Terminal maintenance $492.00 per terminal X 5 terminals	2,460.00
Semi-annual service fee $150.00 per terminal (5) X 2	1,500.00
Telecommunications Leased line.....$200.00 per month Modem (2).....AT&T rates fluctuate Station terminator (2)...AT&T rates fluctuate	
Total charges less 4.5% discount	5,040.32
First time use charges (FTUs) OCLC.....$1.40 per use SOLINET..... .33 per use $1.73	
12,897 FTUs less 4.5% discount	21,376.58
First time updates (FUPs) OCLC.....$1.40 per use SOLINET..... .33 per use $1.73	
119 FUPs less 4.5% discount	196.56
Reclassification: FTU and FUP OCLC.....$1.20 per use .20 per use $1.40	
3,508 FTUs less 4.5% discount	4,682.61
6 FUPs less 4.5% discount	8.01
Catalog cards $.042 per card	
147,792 cards less 4.5% discount	5,913.29
Interlibrary Loans OCLC.....$1.20 per request SOLINET..... .14 per request $1.34	
1,927 requests less 4.5% discount	2,469.96

SOLINET Costs (cont.)

Retrospective conversion

FTU Prime time	$.60 per use
FTU Non-prime time (July-Jan.)	.10 per use
FTU Non-prime time (Feb.- June)	.15 per use

378 Prime time less 4.5% discount	$ 231.24
21,292 Non-prime less 4.5% discount	2,260.00
Postage (mailing of cards)	
Less 4.5% discount	373.70
Miscellaneous	
Terminal move to new building less 4.5% discount	864.80
Fiche less 4.5% discount	4.68
TOTAL SOLINET COSTS	$47,740.75

PRE-CATALOGING SECTION

Section Head: Joyce McDonough; Library Assistant II: David Meyer (to 11/30/81), Tamila Ebrahimi Marshall (from 1/25/82)

This was a particularly chaotic year for the Library, and Pre-Cataloging was no exception. David Meyer was the Pre-Cataloging searcher until the end of November when he was promoted to Administrative Assistant for the Cataloging Department. Tamila Ebrahimi, who had been working in the Bibliographic Records Section as a filer, replaced David near the end of January. On the whole, the transition has been as smooth as one could hope.

In the Library move, David helped with the move of the general collections and the card catalog. In addition, he was a member of the crew which packed, moved, unpacked and reshelved the Patterson Rare Book Room's holdings. He also did all of the packing for the Pre-Cataloging Section.

In the Ekstrom Library, Pre-Cataloging is housing both the Acquisitions OCLC terminal and one of the Cataloging Department's in our open work area. The Section is more spread out than in the old library. For example, the Acquisitions area now stands between Pre-Cataloging and its books, but we seem to have arranged a satisfactory work flow.

During the past year, Pre-Cataloging received 13,119 items from the Acquisitions Department. Table 1 shows the distribution by Acquisitions status and origin. The total figures for incoming books represent a decline of 11% from the previous year. Pre-Cataloging sent 11,304 items to Cataloging. Table 2 shows the distribution by status and language. Book Continuations are not accurately recorded, but a new procedure for recording their processing should correct this for the coming year. The figures for the items which left Pre-Cataloging show a decline of 20% since last year.

At year's end, there are 1,594 items in Pre-Cataloging's searching Process, a 55% increase over last year. There are 864 books in the OCLC search routine. The items which need original cataloging have been split into two sections: Priority O's and Backlog O's. The 107 Priority O's are those items which should be cataloged first. The 56 Backlog O's are not urgently needed and can be done as time allows. Both of these groups have been searched in the National Union Catalog. In addition, there are 567 items waiting to be searched in the NUC.

There were 903 items sent to the bindery for external processing, a decline of 36% from the previous year. This decline is partly due to a decision to bind only those items which cannot stand alone on the shelf. The number of items bound internally is not recorded.

The bounce shelf has continued to function effectively. A little over 40% of the items placed on the shelf related to added copy problems. (This figure may be a little low. The slips for some of the items which were returned to the publishers were not returned to Pre-Cataloging.) Name conflicts accounted for another 5%. 33% of the items placed on the bounce shelf had

printouts which did not match the item. Almost 14% of the books on the bounce shelf were book continuations or added volumes which were not detected as such in pre-order searching. The remaining 8.5% had miscellaneous problems (e.g., defective copies, conflicting destination codes, etc.).

After the move into the new building, there was the problem of setting up new workflow patterns. David Meyer did an excellent job of sorting out the various types of tasks Pre-Cataloging performs and assigning them new work areas. He also took on additional assignments as needed. He did all of the Serial Record File searching for an ARL microform holdings questionnaire which the Department was completing. Tamila has also been eager to learn about all of Pre-Cataloging's responsibilities, the systems we use, and how Pre-Cataloging fits into the Library as a whole.

Pre-Cataloging has been working with the Serials Department and the Serials Cataloging Section to create a workflow for serials and added volumes. Unfortunately, the problems encountered are unique to serials, so they cannot merely be incorporated into the monographic system. An effective system should be functioning by next year.

The Head of Pre-Cataloging has continued to process all book continuations, Slavic language materials (on OCLC), and some of the unanalyzed microform collections. She also answered the ARL questionnaire on microforms. In an attempt to expedite the processing of serials, the Head of Pre-Cataloging has been cataloging some of the new serial titles we have received this year.

There was a problem this year with the Law School books which came through Pre-Cataloging from Acquisitions. Many of them were items for which cards already existed in the public catalog. They just needed to classified. This caused many problems, but a new Acquisitions status for this type of item has made identification of them much easier.

The only major problem experienced with hardware this year concerned the Scope Data printers. For a time, the machines were breaking down several times per day. No matter how often we cleaned them, they would quickly cease to function. Eventually, both had to be sent off for repairs. The problem was traced to the coating on the paper. The coating was too thick and caused a buildup in the machines with continuous use. Since returning the defective paper, we have had no problems with the printers.

PRE-CATALOGING SECTION TABLE 1 1981/82

INCOMING BOOKS BY STATUS

OVERALL		50's		90's	
TOTAL	13,119	TOTAL	8,209 = 62.57%	TOTAL	2,654 = 20.23%
G & E	1,654 = 12.61%	G & E	514 = 62.26%	G & E	558 = 21.02%
BLANKET	3,834 = 29.22%	BLANKET	2,846 = 34.67%	BLANKET	620 = 23.36%
ORDERS	5,927 = 45.18%	ORDERS	4,147 = 50.52%	ORDERS	910 = 34.29%
SPEED	345 = 2.63%	SPEED	227 = 2.77%	SPEED	51 = 1.92%
MUSIC	393 = 3.00%	MUSIC	108 = 1.32%	MUSIC	122 = 4.60%
LAW	966 = 7.36%	LAW	367 = 4.47%	LAW	393 = 14.81%
O's		BC's		AV's	
TOTAL	1,150 = 8.77%	TOTAL	234 = 1.94%	TOTAL	125 = .95%
G & E	174 = 15.13%	G & E	2 = .79%	G & E	47 = 37.60%
BLANKET	301 = 26.17%	BLANKET	36 = 14.17%	BLANKET	12 = 9.60%
ORDERS	411 = 35.74%	ORDERS	207 = 81.50%	ORDERS	7 = 5.60%
SPEED	12 = 1.04%	SPEED	2 = .79%	SPEED	20 = 16.00%
MUSIC	90 = 7.83%	MUSIC	5 = 1.97%	MUSIC	37 = 29.60%
LAW	157 = 13.65%	LAW	2 = .79%	LAW	2 = 1.60%

AC's	
TOTAL	727 = 5.54%
G & E	359 = 49.38%
BLANKET	19 = 2.61%
ORDERS	245 = 33.70%
SPEED	28 = 3.85%
MUSIC	31 = 4.26%
LAW	45 = 6.19%

PRE-CATALOGING SECTION TABLE 1 (cont.)

PERCENTAGE OF SECTION'S BY STATUS

50's		90's		0's	
G & E	514 = 31.08%	G & E	558 = 33.74%	G & E	174 = 10.52%
BLANKET	2,846 = 74.23	BLANKET	620 = 16.17%	BLANKET	301 = 7.85%
ORDERS	4,147 = 69.97%	ORDERS	910 = 15.35%	ORDERS	411 = 6.93%
SPEED	227 = 65.80%	SPEED	51 = 14.78%	SPEED	12 = 3.48%
MUSIC	108 = 27.48%	MUSIC	122 = 31.04%	MUSIC	90 = 22.90%
LAW	367 = 37.99%	LAW	393 = 40.68%	LAW	157 = 16.25%

BC's		AV's		AC's	
G & E	2 = .12%	G & E	47 = 2.84%	G & E	359 = 21.70%
BLANKET	36 = .94%	BLANKET	12 = .31%	BLANKET	19 = .50%
ORDERS	207 = 3.49%	ORDERS	7 = .12%	ORDERS	245 = 4.13%
SPEED	2 = .58%	SPEED	20 = 5.80%	SPEED	28 = 8.12%
MUSIC	5 = 1.27%	MUSIC	37 = 9.41%	MUSIC	31 = 7.89%
LAW	2 = .21%	LAW	2 = .21%	LAW	45 = 4.66%

PRE-CATALOGING SECTION TABLE 2 1981/82

OUTGOING LANGUAGES

TOTAL:	11,304	
ENG:	10,878	= 96.23%
FRE:	115	= 1.02%
GER:	105	= .93%
ITA:	53	= .47%
SPA:	141	= 1.25%
OTH:	12	= .11%

LC I & LC II

TOTAL:	8,441	
ENG:	8,262	= 97.88%
FRE:	30	= .36%
GER:	37	= .44%
ITA:	22	= .26%
SPA:	86	= 1.02%
OTH:	4	= .05%

BOOK CONTINS & ORIGINALS

TOTAL:	2,863	
ENG:	2,616	= 91.37%
FRE:	85	= 2.97%
GER:	68	= 2.38%
ITA:	31	= 1.08%
SPA:	55	= 1.92%
OTH:	8	= .28%

(Book Contins not noted for most of the year)

BREAKDOWN

TOTAL:	12,211	
LC I:	3,892	= 31.87%
LC II:	4,549	= 37.25%
LC III:	208	= 1.70%
090:	2,046	= 16.76%
090E:	461	= 3.78%
0:	116	= .95%
0E:	22	= .18%
BC:	38	= .31%
AC:	625	= 5.12%
ALL ORIG:	2,863	= 23.45%
SERIALS:	254	= 2.08%

LC CATALOGING SECTION

Section Head: Thomas Lehman; LC Cataloger I: Martha Akers, Eleanor Bishop, Linda Kimmel; LC Cataloger II: Kevin Millham, Adela Trigo de Serrano; Senior LC Cataloger: Brenda Frank

The past year has amply fulfilled its promise of being an exciting and challenging year, characterized as it was by the move into the new building and the advent of two new automated systems in the Cataloging Department.

The LC Cataloging Section was fortunate to have no turnover during the year. Its skilled and dedicated staff proved to be invaluable in dealing with the changes and challenges of the year. The duties of two members of the Section were changed during the year. Shelflisting of books with LC copy, which had been the province of Eleanor Bishop, was stopped in August 1981. This enabled Ms. Bishop to step temporarily into the void created by a frozen vacant position in the Bibliographic Records Section, where she is responsible for the Series Authority File. Her willingness to assist where needed is much appreciated. Brenda Frank was reclassified from an LC Cataloger II to the newly created position of Senior LC Cataloger on March 1, 1982. She has taken on a number of new duties related to automated cataloging.

The 1981/82 year began with the move into the Ekstrom Library. The last part of the month of August was spent moving into our new quarters and getting adjusted. Complaints about the bold color scheme soon faded, but those about the telephone arrangements continue to be heard. The OCLC phone lines were reinstalled on September 3, 1981, and we were at last able to get back to work.

The first of the new online systems mentioned above was the Dataphase circulation system. The LC Cataloging Section was given responsibility for entering the record for each item cataloged into the database of the new system, and for making corrections to the records in Dataphase when necessary. The initial phase of Dataphase's operation was not without its problems. Not all locations were initially in the location table, causing us to have to list these items incorrectly in Dataphase and record them for later correction. We began labelling books with machine-readable labels containing a different prefix for each building, then discovered that different prefixes were valid only for different systems. As a result, $2,500 of labels had to be discarded; fortunately, Dataphase reimbursed the Library. The next problem was a lack of data integrity, which meant that the database had to be erased and the data reloaded. This led to a hiatus in our use of the system and the need to refamiliarize ourselves with it. The database is now completely loaded, and use of Dataphase has become fairly routine.

In December 1981, SOLINET circulated a request for libraries to participate in the test of LAMBDA, its online access and database maintenance system. After some quick consultations and several meetings with the Library administration, we applied and were accepted. We saw LAMBDA as offering an opportunity to get name headings on our archive tapes into AACR2 form, and to make 10-12,000 corrections that had been made to our card catalog agree with the archive tapes. Our training for this system took place March 9-10, 1982, at this Library. a two-week delay in loading occurred while we selected our load option. That decision made, we began in April working a total of 40 hours per week on LAMBDA with five LC Catalogers and two professional catalogers acting as reviewers.

Since the Authority File in LAMBDA can change all of the occurrences of a heading to the new form in one operation, and since many of the corrections involved the same subject heading, we decided to concentrate on doing subject changes through the Authority File. The system has worked better than expected. We are almost done with the subject updates and have been able to do several years' worth of manual series corrections on LAMBDA in about two weeks.

Several miscellaneous occurrences from the past year:

--As a result of the deterioration in OCLC response time and availability, the LC Catalogers kept detailed logs of OCLC terminal problems for a year. Brenda Frank compiled the statistics in a very clear format and they were sent monthly to SOLINET. SOLINET found them to be among the clearest evidence of OCLC's problem and forwarded them regularly to the attention of OCLC's President, Rowland Brown. Since OCLC response time has begun to improve, and since the compilation took a lot of Brenda's time, we are now keeping statistics on only one terminal.

--There was some excitement in the Department when, during the last week of June 1982, it was discovered that a person or persons unknown was going through offices and desks at night. Some things were taken, although no one in the LC Cataloging Section suffered a loss. The outcome was a greater emphasis on security that, at times, makes it more difficult to enter and move around the department.

SERIALS SECTION

Section Head: Jane Graves; Library Assistant III: Ruth Holman;
Library Assistant II: Jean Black

The move into our new building in August, including preparations before hand and settling in afterwards, seriously cut into our time for cataloging new serials. Terminal down-time has also been a hindrance. A new process which also takes more time is adding serials to the Dataphase bank. The correction of records for materials being transferred hither and yon has also eaten into our time.

Materials were sent from Life Sciences and Periodical Stacks to Reference, from Natural Science to Ekstrom, from stacks to Government Documents, from stacks to the Law Library, and from Acquisitions to the Serials Department. For many of these, records had to be converted to OCLC; new records were created and cards ordered for all title changes which had occurred. Two very large sets (a total of 1,137 volumes) were transferred to the Law School Library. These were the Treaty series of the League of Nations and the United Nations. Many of the sets transferred to Reference involved reclassification, at the request of the Reference Department. This added immeasurably to our work load and to that of the Shelf Preparation Section.

We cataloged 423 new titles (620 volumes) in hard copy and 37 new microtext titles. We made 172 conversions to OCLC plus 49 retrospective conversions. We did a few reclassifications from Dewey to LC, and 61 titles were recataloged due to cessations. Total added volumes were 4,948 and volumes withdrawn numbered 1,084.

One large project for Jean Black this year was pulling all the card sets for the Newcomen Society addresses which had been analyzed as a serial set in Dewey. This title was reclassed to LC and converted to OCLC as an unanalyzed set through no. 620. Some issues in 1964 and all later ones are cataloged and classified separately. The numbers in this set which had been assigned by this Library as they were received did not match the list in the index which the Society published later. In order for the index to be useful, Jean went through the list and wrote in our numbers for the corresponding titles and authors.

I wish to express my thanks to my two loyal assistants for their good work and friendly cooperation. Without their support and steadfastness, I would flounder in this monumental sea of serials cataloging. I also thank all others who have helped in any way to ease the stress.

ORIGINAL CATALOGING

Catalogers: Janice Platt, Tyler Miller

The professional catalogers cataloged all monographs for which there was no Library of Congress MARC copy, except for some music and Spanish items done by Tom Lehman. As in previous years, Janice Platt cataloged Germanic language items while Tyler Miller dealt with Romance language items. The two original catalogers divide all subjects between them, with the exceptions noted above. Ms. Platt catalogs social sciences, Law Library and Speed School materials, while Ms. Miller catalogs items in the humanities, life sciences and Art Library materials.

They have continued inputting their original records into the OCLC database and assigning subject headings to University of Louisville theses.

In August, both Ms. Platt and Ms. Miller served as monitors in the library move, helped in shelving, and served as tour guides during the dedication of the Ekstrom Library.

In September, Ms. Platt and Ms. Miller, along with others from the Cataloging Department, attended a workshop on LC subject headings designed to aid them in their application of AACR2.

Ms. Miller worked on a special project to reclassify selected British and American literary authors from the outmoded PZ and Dewey classifications so that all of an author's works would be found in the same place. At the end of the 6-month project, she had reclassified 61 authors for a total of 1,513 titles.

Ms. Platt completed her inventory of 929 WWI and WWII posters held by the Patterson Room. She translated full or partial text for those posters in German and Russian. Lee Caruthers aided her in the translation of the French texts. She also began work on an article about the collection for possible publication.

The original catalogers attended a training session with other Library personnel given by Michele Dalehite from SOLINET on LAMBDA. They participate on a committee that reviews the LAMBDA text as it proceeds. Both work on monitoring the authority records (subject and name). Both of the catalogers have found that LAMBDA has taken an increased amount of their time creating additions to the original cataloging backlog, which exists due to the 50% reduction in original cataloging positions.

BIBLIOGRAPHIC RECORDS SECTION

Section Head: Gopala Myneni; Author/Title Catalog editing, updating, and maintenance of authority files: Carolyn Hohmann; Subject Catalog updating and editing: Erlinda Paguio; Revision of h Author/Title Catalog, transfers, withdrawals, shelf list editing, call number corrections, updating archival tape, and some conversions: Carol Honaker; OCLC card processing: Jerryne Stithem; Assistant: Marie Henry

The past year has been a difficult one for the Bibliographic Records Section. One full-time position was frozen with slim prospects of its being completely unfrozen. Lots of time and effort had to be spent in planning and executing the move into the new building. This came at a time when we had to deal with the implementation of AACR2. Thanks are due to all the Cataloging Department personnel for pitching in and helping in various capacities during the move, which was made without a major hitch.

In regards to the Section's main activity of keeping the bibliographic records up to date, even though we started on the right footing at the time of the implementation of AACR2, even though we were quite aware of some of the complexities and the magnitude of the problems at this time last year, we found ourselves at the year's end in a state of serious concern in some areas of the Section's work. Unacceptable levels of backlog (sometimes problems dated over a year) accumulated, especially in the areas of cross references and name conflicts mainly related to uniform titles and AACR2 forms of names. This has come about not because of trying to follow ideal solutions blindly, but in spite of the fact that some "acceptable" compromises and different approaches were made to our original solutions. Nor does this mean to imply that we did not try to make effective use of the available professional and non-professional staff ~~staff~~ to meet the challenge. Problems mounted even with the help extended on occasion by the Pre-Cataloging Section Head and the Social Sciences Cataloger, and even with the Author/Title Catalog Editor assuming part of the duties of the frozen position. The processing of new cards is lagging behind an additional 2 to 3 weeks for various reasons. This situation is currently being studied. The LAMBDA project helped to make a big dent in our "deferred update" file of corrections and changes. Thanks are due to Eleanor Bishop for getting the series somewhat under control. Four-fifths of Eleanor's time since August 1981 was assigned to this Section to help with AACR2 problems.

The above statements are not intended to paint a gloomy picture in order to make a point for more help, professional or otherwise. It is neither realistic nor advisable to ask for more help at this stage with the impending transition from a manual to an online catalog, aside from the reinstatement of the frozen position.

What now? Careful reassessment of the Section's total operations may be in order. This is for the Section Head to consider. Should such a reassessment be a part of the reassessment of departmental operations as a whole? That is for the Department Head to decide. Or should it be a part of the anticipated study of the so-called Technical Services operations? That is up to the University Librarian. No matter when and in what context it is done, a modest attempt to prepare the groundwork, in the form of a self study, can and should be undertaken within the next few months in order to have a better grasp of the present situation. Such a study should take into consideration the widening responsibilities of all the Cataloging Department personnel, the prospect of an online catalog, and the implications of an online catalog for professional and staff development.

I thank all of the Bibliographic Records Section staff for their excellent work under difficult circumstances and hope they will extend the same cooperation and group spirit in the difficult times ahead. The help extended by several members of the Cataloging Department when a major filing problem was discovered in the Author/Title Catalog is highly appreciated. Thanks are due to our administrative assistant for helping with the revision of filing in the Subject Catalog while Erlinda Paguio was on a leave of absence.

Notwithstanding the difficulties the Section faced this past year, we are still proud of the achievements. Reports of statistics, special projects, and detailed activities of each unit are attached.

AUTHOR/TITLE CATALOG

Carolyn Hohmann, Author/Title Catalog Editor

Statistics for corrections and changes to the Author/Title Catalog, both routine and those resulting from AACR2, are on the following page.

In addition to making or overseeing these changes, the editor helped with the moving of books to the new library and with the placement of the public catalog cabinets. These projects took about six weeks. Other projects in which she participated were assuming part of the duties of the Section's frozen position, emptying card catalogs at the defunct College Library, taking part in the sampling of the College Library shelf list to determine the number of added copies and unique holdings, and setting up files for the LAMBDA project.

Two new student assistants were hired during the past year and had to be trained.

AUTHOR-TITLE CATALOG
Statistics for 1981/82

Discrepancies resolved:	336
Sets corrected:	500
References added or corrected:	1817
OCLC cards corrected:	1786
Series Authority cards added:	616
Music School cards for scores filed: (KLMM)	2613
Music School cards for recordings, tapes, etc. filed: (KLMR)	971
Health Sciences cards filed:	1270
Health Sciences cards adjusted:	185

AACR2 STATISTICS (not included in the above)

	Names	Series
Discrepancies resolved:	453	126
Corrected:	261	98
Interfiled:	186	--
Split filed:	6	28
Sets corrected:	1260	665
Guide cards added	282	70
References added:	871	586
Series authority cards added:	--	227

NOTE: Due to the move to Ekstrom Library and the resignation of one staff person, cards were not processed for approximately four weeks.

SUBJECT CATALOG

Erlinda Paguio, Subject Catalog Editor

At the beginning of 1981, a number of changes took palce in the Subject Catalog because of the implementation of AACR2. We adopted two ways of handling this matter, particularly in cases where many subject cards of the same heading are involved:

1. Creation of a split-file. In this case, the file on the old heading is retained along with the newly established file for the new heading. To Facilitate access by patrons, See also notes are provided in both headings. The following are examples of a split-file:

OLD HEADING	NEW HEADING
European War, 1914-1918	World War, 1914-1918
Russia	Soviet Union
Slavery in the United States	Slavery--United States
Slavery in [New York, Massachusetts, etc.]	Slavery--[subdivided by states]
Labor and laboring classes--Russia	Labor and laboring classes--Soviet Union
U.S.--Foreign Relations--Russia	U.S.--Foreign Relations--Soviet Union

2. Interfiling subject cards with the old heading behind the subject card for the new heading. The following are examples of interfiling:

OLD HEADING	NEW HEADING
Argentine Republic	Argentina
Chicago	Chicago (Illinois)
French in...	French (Indirect)
Jews in...	Jews (Indirect)
London	London (England)
Los Angeles	Los Angeles (Calif.)
Los Angeles Metropolitan Area	Los Angeles Metropolitan Area (Calif.)
New York	New York (N.Y.)
Paris	Paris (France)
Philippine Islands	Philippines
Seville	Seville (Spain)
St. Louis	St. Louis (Mo.)
St. Louis Metropolitan Area	St. Louis Metropolitan Area (Mo.)
St. Louis County	St. Louis County (Mo.)
Church and State in...	Church and State-- place
Rome (City)	Rome (Italy)
Poland--Relation (General) with...	Poland--Relations (Indirect)
U.S.--Relations (General) with...	U.S.--Relations (Indirect)
U.S.--Relations (Military) with...	U.S.--Military relations (Indirect)

Changes from Direct to Indirect subdivision continued to be made as well as the following significant changes:

OLD HEADING	NEW HEADING
Abortion--Religious aspects	Abortion--Moral and religious aspects
Animal pictures	Animals--Pictorial works
Architecture, Fan (African people)	Architecture, Fang (West African people)
Attica	Attica (Greece)
Baltimore	Baltimore (MD.)
Bateke (Bantu people)	Teke (African people)
Bombay	Bombay (India)
Books and reading for children	Children--Books and reading
Books and reading for the aged	Aged--Books and reading
Books and reading for youth	Youth--Books and reading
Cheremissian language	Mari language
Cruelty to the aged	Aged--Abuse of
Demonology, Lamaist	Demonology, Buddhist
Finnish languages	Baltic-Finnic languages
Finno-Ugrian languages	Finno-Ugric languages
Futurism	Futurism (Literary movement)
Frontier and pioneer life--The West	Frontier and pioneer life-- West (U.S.)
Gods, Lamaist	Gods, Buddhist
Lamaism	Buddhism and Dge-Lugs-pa(Sect)
Lamaist doctrines	Buddhism--Doctrines
La Rochelle	La Rochelle (France)
Lappish language	Lapp language
Missions, Foreign	Missions (an existing heading)
Origin of species	Evolution
Tanai Indians	Tanaina Indians
Arabs in..., Poles in...., Greeks in.... and headings of a similar type	Arabs (Indirect) , Poles (Indirect) Greeks (Indirect)

STATISTICS for 1981-1982

Cards corrected	2, 642
X reference made and traced	830.
See also notes added	32
Obsolete references withdrawn	58
New subjects added	6, 560
New scope notes added	24

Jo Ann Finan, a junior majoring in counseling, succeeded Tamila Ebrahimi as our student assistant. Tamila moved on to a full-time position in PreCataloging.

The Subject Catalog Editor served as a monitor in moving the public catalog to the Ekstrom Library. She also helped with the packing of catalog cards at the defunct College Library.

SHELFLIST

Carol Honaker, Shelflist Editor

The Shelflist Editor worked without the benefit of an assistant during the past year since the position was frozen due to the budgetary cutbacks. Workload problems were compounded by the start of the LAMBDA project, during which 9-10 hours per week of the Editor's time were devoted to the field test, leaving her to accomplish her normal work in 75% of the time.

A total of 205 problems resulting from the inventory of the Dewey collection were solved in the past year. Previously, 1512 had been solved. About 700 Dewey volumes were withdrawn which were missing during the inventory.

From October to December, volumes were transferred into or out of the Reference collection. The Browsing Collection was weeded from December to May, resulting in the transfer of several hundred volumes to the stacks.

From October until December, the Shelflist Editor voluntarily worked overtime on the Retrospective Conversion Project approximately 10-12 hours per week.

Besides supervising the move of the shelflist to the new building, she also helped with the move of the public catalog. She assisted with the packing of catalog cards from the now defunct College Library.

STATISTICS

Titles withdrawn from Dewey	74
Titles withdrawn from LC	140
Volumes withdrawn from Dewey	871
Volumes withdrawn from LC	311
Shelflist problems investigated	47

SHELF PREPARATION SECTION

Section Head: Mary Webb; Library Assistant I: Ben King; Library Aide: Vanessa Capps (half time); Student Assistants: Carla Gibson and Mary K. Fields

The 1981-82 fiscal year has been one of moving, adjusting, learning and added responsibilities. Fortunately, we had no changes in staff throughout the year. However, Vanessa Capps graduated in May, resigned June 29, and accepted a job in Frankfort as a tax auditor. With great cooperation among staff and student workers, we have managed a year of success and excitement as being a part of the move into the new Ekstrom Library.

On August 14, we began the move into the new library. After settling into our section, things began to happen.

--September 15 we inherited the responsibility of putting security strips in all books going to Circulation.
--October 5 we had our first instructions from Ruth Atwood on the Dataphase circulation system.
--November 30 we began processing all Browsing Collection books by duplicating labels and adding plastic covers.
--December 8 we put our first books into the Dataphase terminal.
--December 22 our first complete truck of books went to Circulation.
--January 18 the first serials went into Dataphase.

As of July 1, 1982, we had labelled 7,128 books with affixed labels and approximately 275 typed-in fake labels for all libraries. Our overall book count with Selin labels going to all libraries was 18,920. Our statistics sheet is appended to this report.

My thanks to our Department Head, David Michener, and all of our co-workers for helping us in the Shelf Preparation Section to learn and be a part of the most exciting challenge of the new online circulation system.

Cataloging p.22

DATE	JULY 1981	AUG. 1981	SEPT. 1981	OCT. 1981	NOV. 1981	DEC. 1981	JAN. 1982	FEB. 1982	MAR. 1982	APR. 1982	MAY 1982	JUNE 1982	TOTAL
BOOK COUNT	1467	726	1458	1507	1533	1168	1838	2087	2152	1538	1469	2089	18,920
GIFT PLATES	78	55	108	73	120	57	98	110	132	52	32	118	1,033
CARDS & POCKETS	96	50	181	171	155	87	180	182	212	147	169	314	1,944
PAM BIND LABELS	107	39	87	133	132	79	71	38	51	21	84	107	949
MICROFICHE	682	115	0	2	3357	0	0	0	0	18	0	0	4,174
MICROFILM	52	9	4	59	4	0	9	0	8	0	5	6	156
CORRECTIONS	36	3	9	17	4	4	4	528	636	521	245	286	2,297
MENDING BOOKS	4	19	38	206	200	57	102	88	70	86	7	14	891
RUSH BOOKS	39	11	57	84	45	15	67	63	46	46	37	93	603
SERIALS & PERIODICALS	113	77	123	179	123	54	124	213	159	297	153	133	1,748
THESIS	0	0	0	4	0	0	0	110	0	4	0	0	118
TRANSFERS	107	2	111	66	8	7	21	28	206	121	28	4	709
RELABEL FOR REFERENCE	0	0	0	0	129	0	83	110	138	149	84	100	793
PERIODICALS TO BE STRIPPED	0	0	0	0	43	0	70	36	203	110	295	202	959

RETROSPECTIVE CONVERSION PROJECT

Supervisor: Ruth Field

The year 1981/82 saw a decline of 22% in the number of titles converted by the RetroCon Project. 23,402 titles were done as compared to 29,865 the previous year. 60% of these titles were done during the first four months of the year, indicating the de-emphasis on conversion which took place about the beginning of November.

Several factors contributed to this unfortunate state of affairs. The LC Catalogers, who convert records already in the OCLC database, had less time to do so because of the increase in the Dewey reclassification project and because of their participation in the LAMBDA project.

The total number of terminal hours devoted to RetroCon dropped from 2,321.75 to 2,160.5 hours, down 7% from 1980/81. The terminal time of the project supervisor, who converts records requiring original input, was reduced by 25%. Some of this time was recovered by making use of time assigned to absentees whenever possible.

Student hours assigned to conversion fell 53%, from 1,183,25 to 555.5 hours.

We did not get the additional terminals which we had anticipated, and no one was hired to work evenings or weekends to make use of unused terminal time. We had no windfalls from other departments as we did last year in terms of personnel or financing.

Conversion rate

The average number of titles converted per hour went from 12.81 to 10.8 titles (-16%). This decrease would be expected because of a larger proportion of terminal hours being used for original input, which is done at a somewhat slower rate.

Original input

The number of new records which were added to the OCLC database rose from 970 (3.25% of total titles converted last year) to 1,508 titles (6.5% of total titles converted this year).

Revised estimate of LC titles to be converted

An inspection was made of the LC Conversion File in the Circulation Department to determine what changes have taken place since it was sent to Circulation two years ago.

The number of boxes originally sent was 111. This number has been reduced to 72, a 35% reduction.

There are no conversion slips in the file for LC classes H, M, PS, and T. P-PT has been reduced from 16 to 9 boxes, L from 5 to 3, R from 2 to 1, B from 10 to 9, and PZ from 7 to 5. Most of these categories are "high use."

An attempt was made to estimate the number of titles remaining to be done. In 1980 the estimate was 215,000. The file now measures 520 inches. One-inch samples taken at random showed that from 146 to 225 slips per inch might be expected, the average being 183. So, depending upon your degree of optimism, we now have:

146 x 520 = 75,920 titles remaining

or 183 x 520 = 95,160 titles remaining

or 225 x 520 =117,000 titles remaining.

To this figure must be added slips either in process or deferred for some reason (approximate figures):

2,500 serials
1,000 non-Romans, dash-ons, analytics, College Library to be discarded, etc.
1,500 in process for original input
4,500 in process for LC Catalogers
9,500 TOTAL

Taking the high figure, 117,000 titles, and adding the 9,500 in process or deferred, gives us a new estimate of 126,500 titles remaining to be done. Compared to the figure of 197,307 now in machine-readable form (Table II), we are past the halfway point even if we add the 50,000 to 60,000 Dewey titles remaining.

Duties added to the RetroCon Project

The Project supervisor was asked to do the professional tasks involved in reclassifying and converting Dewey books which have circulated. These tasks include assignment of LC numbers, input of original records, and some recataloging.

Serious thought should be given to combining the Reclassifiaction and RetroCon Projects. Their aims are the same for the most part, and many procedures could be performed more smoothly as parts of a common endeavor.

The Project supervisor was also asked to review the OCLC card shipments, indicating errors and needed references and providing special instructions to the clerical staff who process the cards. This work is important, but whether it can continue to be done by the supervisor when the circulation system adds to the conversion load remains to be seen.

An unfortunate effect of these added duties has been less time for investigation of conversion snags which will cause problems when the circulation system is in operation.

Over-the-counter conversion

When the automated circulation system begins operation on August 30, the Circulation Department will forward to RetroCon conversion slips for all titles which circulate that are not already in the Dataphase system and will forward all Dewey books which circulate upon their return. The number of titles included in these categories is unknown at this time. Whether the Retrospective Conversion Project in its reduced state can cope with this load is doubtful.

TABLE I

RETROSPECTIVE CONVERSION PROJECT 1981/82

TITLES CONVERTED

BY LIBRARY

General	19,486	Natural Science	1252
AfroAmerican	187	Patterson Room	369
Art	614	Photo Archives	7
Bingham	119	Reference Department	143
College	10	School of Music	9
Life Sciences	12	Speed School	1194

BY CLASSIFICATION

A	26	M	12
B	974	N .....,	98
C	52	P	5669
D	761	Q	2007
E	420	R	216
F	167	S	114
G	232	T	4034
H	7678	U	47
J	251	V	25
K	113	Z	73
L	433		

TOTAL TITLES CONVERTED 23,402

TABLE 11

TITLES PUT INTO MACHINE READABLE FORM 1975/76 - 1981/82

1975/76

new titles	14,614
reclassified	1,393
converted	4
	16,011

1976/77

new titles	15,959
reclassified	6,940
converted	391
	23,290

1977/78

new titles	15,620
reclassified	3,642
converted	1,562
	20,824

1978/79

new titles	15,378
reclassified	3,732
converted	914
Pilot RetroCon Project	1,072
	21,096

1979/80

new titles	18,189
reclassified	812
converted	1,377
RetroCon Project	7,850
	28,228

1980/81

new titles	16,477
reclassified	325
converted	687
RetroCon Project	29,865
	47,354

1981/82

new titles	12,777
reclassified	3,443
converted	882
RetroCon Project	23,402
	40,504

Total number of titles in machine readable form as of July 1, 1982 is 197,307

PERSONNEL INFORMATION 1981/1982

NAME AND POSITION	RESIGNED OR TRANSFERRED	REPLACED BY	DATE	TIME LAPSE
Warkentin Library Asst. I	7/24/81	position frozen	--	249 days
Weisiger Admin. Assoc. I	10/16/81	Meyer Library Asst. IV	11/30/81	28 days
Meyer Library Asst. II	11/27/81	Ebrahimi (Marshall)	1/25/81	34 days
Capps Library Asst. I	6/29/82	unfilled at year's end	--	--

SUPPORT STAFF

Vacancies	2332.5 hrs. (311 days)
Leave without pay	183.14 hrs. (24.42 days)
Sick leave	1086.47 hrs. (144.86 days)
Administrative leave	73.5 hrs. (9.8 days)

STUDENT HOURS

Library payroll	3276.15 hrs. *
Work Study	-0-

* An additional 348.5 hrs. were worked in Cataloging but charged to R&D's student allotment

ACTIVITIES OF CATALOGING DEPARTMENT MEMBERS

Martha Akers
- Committees: Library Association Social Committee (Chair)

Ruth Field
- Committees: ULF Constitution and Bylaws Committee; Academic Planning Committee, Subcommittee on Operations; Task Force on On-line Catalog
- Memberships: AAUP, ALA Resources and Technical Services Division, ALA Library and Information Technology Association, Ohio Valley Group of Technical Service Librarians (OVGTSL)

Brenda Frank
- Memberships: OVGTSL, Kentucky Solinet Users Group (KSUG), U of L Library Association
- Meetings: KSUG Fall Meeting, Oct. 1981, University of Louisville; OVGTSL Annual Conference, May 1982, Indiana State University

Jane Graves
- Memberships: University of Louisville Women's Club
- Meetings: KSUG Fall Meeting, Oct. 1981, University of Louisville; U of L Libraries Seminars on Supervision and Leadership
- Workshops: LAMBDA Worksh., University of Louisville

Carolyn Hohmann
- Committees: Library Association Social Committee
- Offices: Treasurer, Library Association

Ruth Holman
- Committees: Library Association Welfare Committee
- Seminars: U of L Payroll/Personnel Seminar, Nov. 1981

Linda Kimmel
- Committees: Library Association Social Committee

Ben King
- Committees: Library Association Social Committee

Tom Lehman
- Committees: Central Library Faculty Personnel Committee (Chair)
- Meetings: KSUG Fall Meeting, Oct. 1981, University of Louisville; KSUG Officers Meeting, Feb. 1982, U of L; OVGTSL Annual Conference, May 1982, Indiana State University; KSUG Spring Meeting, May 1982, Covington; KSUG Officers Meeting, June 1982, Covington

Tom Lehman (cont.)

Seminars: Effective Supervision Seminars, Jan.-Feb. 1982, University of Louisville; U of L Libraries Supervisory Seminars, Apr.-June 1982

Workshops: LC Subject Cataloging Workshop, Sept. 1981, Lexington

Offices: Secretary, KSUG

Joyce McDonough

Memberships: AAUP, ALA Intellectual Freedom Round Table, ALA Library Research Round Table, ALA Resources and Technical Services Division, Freedom to Read Foundation, KLA Academic Libraries Section, KLA Intellectual Freedom Committee, KSUG, OVGTSL, Southeastern Library Association (SELA), University of Louisville Library Associates

Committees: U of L Faculty Senate Committee on Committees and Credentials; ULF Economic Welfare Committee (Chair); U of L Library Associates Board of Directors; KLA Intellectual Freedom Committee (Chair); Planning Committee for 1st General Session of SELA 1982 Conference

Meetings: KLA Annual Conference, Oct. 1981, Louisville; OVGTSL Annual Conference, May 1982, Indiana State University; AAUP meeting on Faculty Governance

Seminars: U of Libraries Supervisory Seminars, Apr.-June 1982

Workshops: LC Subject Cataloging Workshop, Sept. 1981, Lexington; Dewey Decimal Classification Workshop, Apr. 1982, Lexington

Offices: Vice-Chair, Chair-elect, OVGTSL

Courses: Statistical Data Analysis

Teaching: Introduction to Cataloging and Classification, University of Kentucky Extension; Information Resources in the Sciences, Guest Lecturer, University of Louisville

Tamila Marshall

Memberships: International Relations Club, Louisville Ethnic Dancers, Louisville Latin American Dancers

Offices: Treasurer, International Relations Club

Performances: Heritage Weekend, Sept. 1981, Louisville; June 1982, Fort Knox

Dave Meyer

Committees: Library Support Staff Cabinet (Chair); Technical Services Cabinet, Staff Representative; Ad Hoc Committee on Bingham Poetry Room

Seminars: U of L Payroll/Personnel Seminar, Jan. 1982

Offices: Senator-elect, U of L Staff Senate

Other: Coordinator, Collection Development for Browsing Collection; Coordinator, Collection Development for Bingham Poetry Room

David Michener

Memberships: ALA, African Studies Association, KSUG

Committees: University Librarian Search Committee; Collection Management Committee; Administrative Advisory Council; Technical Services Cabinet; KSUG Program Committee; KSUG Constitution and Bylaws Committee

David Michener (cont.)

Meetings:	KSUG Fall Meeting, Oct. 1981, University of Louisville; KLA Academic Section Meeting, Oct. 1981, Louisville; African Studies Association Annual Meeting, Oct. 1981, Bloomington; State-Assisted Academic Libraries of the Commonwealth of Kentucky, Cataloging Committee Meeting, Oct. 1981, Louisville; KSUG Spring Meeting, May 1982, Covington; OVGTSL Annual Conference, May 1982, Indiana State University
Seminars:	U of L Payroll/Personnel Seminar, Nov. 1981; Effective Supervision Seminars, Jan.-Feb. 1982, University of Louisville
Workshops:	LC Subject Cataloging Workshop, Sept. 1981, Lexington

Tyler Miller

Memberships:	OVGTSL, KSUG, AAUP, ALA Resources and Technical Services Division
Committees:	CUL Constitution and Bylaws Committee; ULF Committee on Committees; ULF Ad Hoc Committee for Conservation of Materials; AAUP Executive Committee; AAUP Oversight Committee; KSUG Nominating Committee
Meetings:	KSUG Fall Meeting, Oct. 1981, University of Louisville; AAUP Fall and Spring Conferences; AAUP Conference on Faculty Governance
Workshops:	LC Subject Cataloging Workshop, Sept. 1981, Lexington; LAMBDA Workshop, University of Louisville
Courses:	17th Century French Literature; French Philosophy of the 17th Century
Papers:	Co-authored report of program featuring Laura X, President of the Women's History Research Center
Other:	Book Review Editor, Library Acquisitions: Practice and Theory
Offices:	AAUP University of Louisville Chapter, Treasurer OVGTSL, Treasurer

Gopala Myneni

Memberships:	OVGTSL, KSUG
Meetings:	OVGTSL Annual Conference, May 1982, Indiana State University
Seminars:	Effective Supervision Seminars, Jan.-Feb., University of Louisville; U of L Libraries Supervisory Seminars, Apr.-June 1982
Workshops:	LC Subject Cataloging Workshop, Sept. 1981, Lexington

Erlinda Paguio

Memberships:	American Historical Association, African Studies Association
Teaching:	History of Contemporary Africa, University of Louisville; Survey of Africa, University of Louisville; Guest Lecturer on "Apartheid Policy in South Africa and Namibia" at College of the Holy Spirit and at Centro Escolar University, Manila, Philippines

Janice Platt

Memberships:	AAUP, OVGTSL, KSUG, ALA Resources and Technical Services Division
Committees:	ULF Grievance Committee; KSUG Program Committee for Fall 1981 meeting
Meetings:	AAUP Fall 1981 Conference; KSUG Fall Meeting, Oct. 1981, University of Louisville; OVGTSL Annual Conference, May 1982, Indiana State University
Workshops:	LC Subject Cataloging Workshop, Sept. 1981, Lexington; LAMBDA Workshop, March 1982, University of Louisville; AAUP Conference on Faculty Governance
Offices:	Parliamentarian, CUL; Vice-President, President-Elect, Library Association
Papers:	Co-authored report of program featuring Laura X, President of the Women's History Research Center
Other:	Completed World War Poster inventory, began work on article
Courses:	Physical Geology; Astronomy--Solar System

Jerryne Stithem

Courses: Office Services

Mary Webb

Memberships:	University of Louisville Women's Club
Committees:	Library Association Social Committee; University Librarian Search Committee; U of L Staff Senate Credentials Committee

Table 1

Summary of All New Cataloging, Reclassification, Withdrawals, Transfers, and Conversions to OCLC Done in Cataloging Department, 1981/82

	Central Library	Afro-Amer. Lib.	Art Lib.	Bing. Poet. Rm.	Coll. Lib.	Life Sci. Lib.	Nat. Sci. Lib.
Monographs:							
Titles	8,527	80	851	156		2	677
Volumes	9,218	108	923	156		4	787
Serials:							
Titles	225		8				15
Volumes	2,417		310		2	41	1,388
Theses:							
Titles	191						
Volumes	271	5					5
Microforms:							
Titles	106						
Cards							
Fiche	36,635		32				
Reels	601						
TOTAL TITLES CATALOGED	9,049	80	859	156		2	692
TOTAL VOLUMES CATALOGED	11,906	108	1238	156	2	45	2,180
Reclass:							
Titles	2,890	2	18	23			
Volumes	3,994	3	30	25	1		2
Withdrawn:							
from DC	986						
from LC	1,174	1	2			121	5
Transferred							
Volumes	255	3	11	2			4
* Converted							
Titles	638	14	20	7	6		17
Volumes	735	13	18	5	74	1	14
Retrospective Conversion							
Titles	19,486	187	614	119	10	12	1,252

* Involves some cataloging changes making it necessary to order cards as opposed to next item, Retrospective Conversion, in which record is added as is.

Patt. Rm.	Photo Arc.	Ref. & Bibl.	Sch. of Mus.	Speed Sch.	Law Sch.	Total 1981/82	Total 1980/81	Change	% of Change
106	38	272	214	272	863	12,058	15,151	- 3,093	- 20.4
124	52	473	243	295	1,097	13,480	17,794	- 4,314	- 24.2
1		39	23	51	55	417	623	- 206	- 33.1
15		557	182	529	127	5,568	7,014	- 1,446	- 20.6
						191	278	- 87	- 31.3
			2	100		383	558	- 175	- 31.4
		5				111	60	+ 51	+ 85.0
		2,909				39,576	623	+38,944	+6,251.0
						601	3,487	- 2,886	- 82.8
107	38	316	237	323	918	12,777	16,112	- 3,335	- 20.7
139	52	1,030	427		924	19,431	25,366	- 5,935	- 23.4
33	1	4	470	2		3,443	364	+ 3,079	+ 845.9
82	2	3	525	7		4,674	856	+ 3,818	+ 446.0
						986	1,101	- 115	- 10.4
1		96	2	3	17	1,422	1,561	- 139	- 8.9
250	3	1,993	6	1	1,405	**4,757	550	+4,207	+ 764.9
49	1	103	21	6	2	884	773	+ 111	+ 14.4
71	2	90	25	6		1,054	1,088	- 34	- 3.1
369	7	143	9	1,194		23,402	29,865	-6,463	- 21.6

** 824 volumes transferred to Government Documents

TABLE II

Total Titles Added to the Public Catalog
Compared to the Previous Year

	1981/82	1980/81	
Monographs	11,195	14,270	-3,075 (-21.6%)
Serials	417	623	- 206 (-33.1%)
Theses	191	278	- 87 (-31.3%)
*Microtexts	111	60	+ 51 (+85%)
*Law	918	948**	- 30 (-3.2%)
Health Sciences	1,119	1,139	- 20 (-1.8%)
TOTAL	13,951	17,318	-3,367 (-19.4%)

*Includes monographs and serials for these collections

**This figure reported incorrectly in last year's report as 881; this did not include 67 serial titles (change also reflected in TOTAL)

TABLE III

Cumulative Volume Count of Total Collections in LC (Except Law and Health Sciences) as of July 1, 1982

Volumes in LC as of July 1, 1981	499,150
New volumes added in LC 1981/82	19,431
Volumes reclassed into LC 1981/82	4,674
TOTAL	523,255
Volumes withdrawn from LC 1981/82	1,422
NET NOW IN LC	521,833

APPENDIX VI

Chart prepared by Ralze Dorr showing Projections of New Monies
to be Allocated to University Libraries, 1983-84 through 1992-93,
Percentage Designated for the Health Sciences Library
and Percentage Allocated for the Technical Services Group of Libraries,
Divided according to Monographs and Serials Titles

APPENDIX VI

PROJECTIONS OF NEW MONIES TO BE ALLOCATED TO UNIVERSITY LIBRARIES, 1983-84 THROUGH 1992-93, PERCENTAGE DESIGNATED FOR THE HEALTH SCIENCES LIBRARY AND PERCENTAGE ALLOCATED TO THE TECHNICAL SERVICES GROUP OF LIBRARIES, DIVIDED ACCORDING TO MONOGRAPHS AND SERIALS TITLES[1]

Year	Source of Funding		Designated for H.S. Library[4]	Designated for Technical Services Group of Libraries					
				Monographs		Serials		Total	
	Reallocation[2]	Fund-raising[3]		Amount	Titles[5]	Amount	Titles[6]	Amount	Titles
1983-84	$100,000	--	$ 16,000	$ 61,500	2,413	$ 20,500	523	$ 82,000	2,936
1984-85	$ 91,769	--	$ 16,518	$ 56,439	1,410	$ 18,812	376	$ 75,251	1,786
1985-86	$ 22,089	--	$ 3,976	$ 13,585	339	$ 4,528	91	$ 18,113	430
1986-87	$ 38,144	$1,000,000	$186,866	$751,278	18,781	$100,000	2,000	$851,278	20,781
1987-88	$ 63,000	$ 400,000	$ 83,340	$284,745	7,119	$ 94,915	1,989	$379,660	9,108
1988-89	$ 66,150	$ 400,000	$ 83,907	$286,683	7,167	$ 95,560	1,911	$382,243	9,078
1989-90	$ 69,457	$ 400,000	$ 84,502	$327,212	8,180	$ 57,743	1,154	$384,955	9,334
1990-91	$ 72,930	$ 400,000	$ 85,127	$349,023	8,725	$ 38,780	775	$387,803	9,500
1991-92	$ 76,576	$ 400,000	$ 85,783	$371,254	8,250	$ 19,539	355	$390,793	8,605
1992-93	$ 80,404	$ 400,000	$ 86,472	$374,235	8,316	$ 19,697	358	$393,932	8,674

(Footnotes on following page)

[1]"Technical Services Group of Libraries" includes: Division of Central Libraries, Engineering Library, Law Library and Music Library.

[2]Assumes that monies projected as savings from program reduction by the Steering Committee Report will be designated for library collections from 1983-84 through 1986-87, as follows:

Year	Projected Savings	Designated for Library Collections
1983-84	$3,291,627	$100,000
1984-85	917,697	91,769
1985-86	441,792	22,089
1986-87	508,599	38,144

Beginning in 1987-88, the University will allocate the average for the four previous years as an annual increase to the base budget to compliment endowment funds expected from fund-raising efforts. Each year, following 1987-88, this amount will be raised 5%.

[3]It is assumed that the proposed $5,000,000 endowment, derived from fund-raising, will generate dividends based on at least 8% per year.

[4]It is assumed that a maximum of 18% of the new money for collections will be designated for the Health Sciences Library.

[5]Number of new titles for 1983-84 based on average cost of $25.48 per volume; number of new titles for 1984-85 through 1989-90 will not exceed average cost of $40.00 per volume; number of new titles for 1990-93 will not exceed average cost of $45.00 per volume.

[6]It is assumed that 25% of new monies received through reallocation will be designated for new serials subscriptions 1983-84 through 1985-86 and that during those years the University will allocate from general or restricted funds the annual, compounded costs to maintain previous subscriptions in addition to inflation costs for those subscriptions. The number of titles to be derived from funds available for given years is based on the following projected average cost per subscription: 1983-84: $39.13; 1984-85 through 1990-91: $50.00; 1991-92: $55.00. By 1990-91, the Technical Services Group of Libraries will have subscribed to 8,044 new serials titles at a cumulative cost of $430,838 (not including inflation compounded annually). It is, therefore, assumed that from 1990-91 on, no more than 5% of new monies will be expended for new serials titles.